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ABSTRACT

This is the seventh annual evaluation report submitted to the Congress by the Secretary of Health, Education, and Welfare on behalf of the U.S. Office of Education (OE). Prepared by OE's Office of Planning, Budgeting, and Evaluation, it reviews approximately 90 programs administered by OE and provides the following information for nearly all programs: a brief funding history, a description of program goals and objectives, a review of program operations, an analysis of program scope, a report on program effectiveness and progress, and a listing of ongoing and planned evaluation studies. A major section addresses the important question of the effect the findings of evaluation studies have on program-policy legislative proposals and actions. (Author/IRT)

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ANNUAL EVALUATION REPORT
ON PROGRAMS
ADMINISTERED BY THE U.S.
OFFICE OF EDUCATION
FY 1977

U.S. DEPARTMENT OF HEALTH,
EDUCATION & WELFARE
NATIONAL INSTITUTE OF
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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS: FY 1977

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PREFACE

This is the seventh Annual Evaluation Report submitted to the Congress by the Secretary of Health, Education, and Welfare on behalf of the U.S. Office of Education (OE). Prepared by OE's Office of Planning, Budgeting, and Evaluation, it reviews approximately 90 programs administered by OE, and provides for nearly all programs:

- a brief funding history;
- a description of program goals and objectives;
- a review of program operations;
- an analysis of program scope;
- a report on program effectiveness and progress; and
- a listing of ongoing and planned evaluation studies.

Formal evaluations have not been carried out on many of the OE programs. For those, the historical information on legislation and budget, the descriptive information on program activities, and a list of ongoing evaluation studies are provided. As the evaluations are completed, summaries of their findings are added to the report. Thus the report constitutes an annual updating of the accumulating evaluation knowledge about the effectiveness of OE programs.

A major section again in this year's report, entitled "Uses of Evaluation Activities", addresses the important question of what effect do the findings of evaluation studies have on program-policy and program-management decisions, on budget levels, and on legislative proposals and actions. Beginning with this year, it will also address the question of the effect of other evaluation activities, such as technical assistance to the field.

The Fiscal Year 1977 report appears much less than one year after its counterpart for 1976. In response to a Congressional mandate, we have moved to a production schedule aimed at delivery to Congress on November 1 each year rather than in the Spring. Consequently, some sections of this report are largely unchanged from those of last year.

It is our hope and expectation that this Annual Evaluation Report will provide useful information to the Congress and to the agencies of the Executive Branch, to State and local policymakers, journalists, educational practitioners, and researchers everywhere. For those of you who do make use of the Report, I welcome any suggestions for improvement as well as requests for additional copies.

John W. Evans
Assistant Commissioner
Office of Planning, Budgeting,
and Evaluation
U.S. Office of Education

Annual Evaluation Report on Programs Administered by the U.S. Office of Education

A. Introduction

Section 417 of the General Education Provisions Act, as amended by P.L. 93-380 dated August 21, 1974 requires that "...the Secretary shall transmit to the Committee on Education and Labor of the House of Representatives and the Committee on Labor and Public Welfare of the Senate, an annual evaluation report which evaluates the effectiveness of applicable programs in achieving their legislated purposes..."

This report is the seventh annual comprehensive evaluation report. It updates the information in the FY 1976 report by incorporating the results of evaluation studies completed through June 1977 as well as additional information obtained from program operations and monitoring activities.* It also provides detail on program goals and objectives, discusses progress towards meeting these goals and objectives, identifies the principal studies supporting the conclusions about program effectiveness, and briefly describes each evaluation contract negotiated or in process during FY 1977.

In addition, this annual report incorporates the annual reports required in P.L. 93-380:

- Section 151 - Program Evaluation, ESEA Title I
- Section 731 - Reading Improvement Program
- Section 841(a)(7) - Bilingual Vocational Program

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* It should be noted that the report covers Office of Education programs as of June 30, 1977. Budgetary, legislative, program revisions and new evaluation data subsequent to that date are not included. In view of the necessary clearances and the November 1 due date, it was not possible to include all activities of FY 1977.

Because not all programs have yet been the subject of formal evaluations, information about effectiveness has varying degrees of "hardness" and objectivity. The most objective effectiveness data result from completed formal evaluation studies. The sources of these data are varied and represent the efforts of many units within the Office of Education as well as some organizations outside of OE. These include evaluation studies by OPBE and various contractors, data compiled by NCES, data from program managers, data from HEW Audit Agency, GAO reports, NIE reports, data from State and local agencies, etc.

B. Amounts Obligated for Evaluation Contracts in OE Since Fiscal Year 1970

Systematic, comprehensive evaluation of Federal education programs dates back to the summer of calendar year 1970. The FY 1970 appropriation of $9.5 million was the first significant funding made available for the evaluation of OE-administered programs. The following table shows the amounts obligated for evaluation contracting in OE since Fiscal Year 1970.

AMOUNTS OBLIGATED FOR EVALUATION CONTRACTS IN OE
(In millions of dollars by fiscal year)

Authority	1970	1971	1972	1973	1974	1975	1976	(Est.) 1977	(Est.) 1978
Planning and Evaluation	9.7	12.4	12.5	10.9	5.5	6.9	6.4	7.1	7.1
Follow Through	4.0	6.2	2.8	3.9	3.1	2.4	2.3	.2	*
Emergency School Assistance	-	1.3	.9	3.4	2.5	2.3	1.7	2.1	2.2
Labor Dept.	-	.2	-	.2	-	-	-	-	-
S&E	-	-	-	.6	-	.5	-	-	-
Sec. 232	-	-	-	-	.5	.5	-	-	-
Title I (Sec. 151 & 417)	-	-	-	-	-	4.0	4.5	5.0	12.5
Career Ed	-	-	-	-	-	.3	-	.2	-
PIPs	-	-	-	-	-	1.2	.9	1.6	2.5
BEOG's	-	-	-	-	-	.2	.3	-	-
Right to Read	-	-	-	-	-	-	.2	.3	.3
Community Ed	-	-	-	-	-	-	-	.1	-
Voc Ed	-	-	-	-	-	-	-	1.4	-
	13.7	20.1	16.2	18.9	11.6	18.2	16.2	18.0	24.4*

Individual items may not add to totals because of rounding.
* Plus Follow-Through, to be determined.

These sums, though substantial, represent less than three tenths of one percent of the total annual program appropriations.

C. Evaluation Strategy of the Office of Planning, Budgeting and Evaluation

The U.S. Office of Education (OE) is responsible for administering or monitoring approximately 100 programs which provide funds, materials, teachers and other staff, training activities, and technical assistance in support of all levels of public and private education across the country. In carrying out its responsibilities, OE spent approximately $ 9 billion during Fiscal Year 1977, employed approximately 2,200 persons at headquarters in Washington, D.C. and approximately 900 persons at its 10 regional offices. More important, OE programs and resources have affected the activities of more than 2 million teachers and administrators at all levels of education, and the learning experiences of a high percentage of the more than 70 million persons, young and no longer young, who were the clients of America's educational institutions.

Most of OE's programs, in terms of numbers of programs and projects, numbers of student and teacher participants, and numbers of dollars spent, are directed at persons who may be generally defined as "disadvantaged." The term applies to children and adults who typically do not or cannot succeed in the traditional educational system and programs. The causes of these difficulties are many and are often reinforcing. Physical or mental handicaps which are clinically definable require special programs and services, often supported with federal funds, to enable the handicapped person to acquire appropriate knowledge and skills towards as satisfying and self-supporting a life as possible. A background of poverty, isolation as a member of a minority ethnic or linguistic group, and of early failure at school, frequently results in patterns of accelerating failure, withdrawal from school, unemployment or a series of low-paying, low-prestige jobs and difficulties in continuing one's education or in gaining access to the formal educational system in later years. Here again, the federal response has been to create special programs and services designed to assist the economically or educationally disadvantaged person to stay in school, to receive greater benefits from the educational system as indicated by improved achievement, motivation, and attitudes, to overcome the financial barriers to postsecondary education, or to re-enter the system whenever appropriate. Here again, the intention is to help people acquire knowledge and skills to the maximum of their learning potential and interest, towards as satisfying and useful a life as possible.

Given the wide financial and human impact of OE's programs, these important questions emerge as the basis for OE's evaluation strategy:

1. What effect do specific federal programs in education have upon their participants?

2. What improvements should be made in the management and administration of those programs?

3. What improvements may be made in the instructional techniques and materials and in staff-training activities?

4. What particularly effective projects, products, procedures and practices have been developed in the field with the support of federal funds and which should be disseminated?

5. What improvements may be made in the delivery of financial aid and other services to students to increase their entrance and retention rates in postsecondary education?

6. What improvements should be made in evaluation itself so that all participants in the educational system may better understand the workings and the effects of their programs and projects, and may take action to improve those activities?

With these questions to answer and within the limits of staff and funds available to answer them, the evaluation strategy in years past has emphasized impact studies which are designed to measure the effect of programs and projects upon participants. Such studies will continue to be the major component of the OE evaluation strategy, because of the information they provide to the Congress and to the Executive Branch on program effectiveness, on program management, on project instructional activities, and on particularly effective activities that could be disseminated to others. Some of these studies are mandated by the Congress in program legislation.

A second and growing component of the strategy consists of process studies aimed at providing information and recommendations to program managers on the characteristics and problems of OE programs as they operate through projects in the field. Most of these studies are requested by OE managers themselves during the lengthy process of planning and negotiations leading to the Annual Evaluation Plan. Some are mandated by the Congress in program legislation.

A third component of the strategy is the provision of technical assistance to States and to local districts in evaluation itself. Most of this activity responds to the mandate for the ESEA Title I program in P.L. 93-380, Section 151. It includes Technical Assistance Centers in evaluation, workshops, and a monograph series on recommended evaluation practices. Other activities of this component are conducted under the "Packaging and Dissemination" Program.

A fourth component of the strategy is the identification of effective projects and practices developed under OE programs. This component may include the development of "models" or detailed descriptions of the essential characteristics of such projects or practices, designed to help education in the field to develop similar projects or practices. Model development is particularly active for the ESEA Title I program in response to the mandate of

P.L. 93-380, Section 151. The development of detailed, comprehensive Project Information Packages under the "Packaging and Dissemination" Program is another important activity of this component.

In summary, OPBE's evaluation strategy includes implementation of Congressional mandates, conduct of program impact studies, meeting information needs of OE program managers, provision of technical assistance in evaluation to the field, studies to identify effective program services, and practices or projects for improvement of program operations and for dissemination to the field.

D. Highlights of Studies Completed During Fiscal Year 1977

Study of the Sustaining Effects of Compensatory Education on Basic Skills: First Year Report

Selected results from a recently completed survey of a nationally representative sample of over 5000 public elementary schools showed that:

- Title I funds reach 68 percent of all elementary schools with an additional 14 percent receiving compensatory funds from sources other than Title I.
- Compensatory funds in general, and Title I funds in particular, are targeted to a remarkable extent on schools with high concentrations of poverty students, as intended by the Title I allocation procedure.
    - Many schools with low concentrations of poverty students also receive Title I funds.
- Compensatory funds in general, and Title I funds in particular, are targeted on schools with high concentrations of poor readers to an extent only slightly less than that for schools with high concentrations of poverty students.
- Virtually all schools that have high concentrations of students who are both from poverty backgrounds and poor readers receive some form of compensatory funds, with most of them receiving Title I funds.
    - Schools that did not receive such funds but that might be considered deserving (i.e., had high concentrations of such students) were more likely to be located in urban areas.
- Virtually all schools with high concentrations of students from minority backgrounds receive some form of compensatory funds with most of them receiving Title I funds.

Evaluation of Federal Programs Supporting Educational Change

The purpose of this study was to identify the nature, permanence and extent of dissemination and continuation of innovations that are associated with four Federal programs aimed at promoting educational change in schools. Approximately 300 school district projects, supported by Title III, Right-to-Read, Vocational Education, Part D and ESEA Title VII, Bilingual Education, were studied. The overall findings can be stated quite simply. Federal change agent policies had a major effect in stimulating LEAs to undertake projects that were generally consistent with federal categorical guidelines. This local response resulted from the availability of federal funds and, in some programs, from guidelines that encouraged specific educational practices. But the initiation of innovative projects did not insure successful implementation; moreover, successful implementation did not guarantee long-run continuation. Neither those policies unique to each federal program nor those policies common to them strongly influenced the fate of the innovations. In sum, the net return to the federal investment was the initiation of many innovations, the successful implementation of few, and the long-run continuation of still fewer (with the exception of the special case of bilingual projects, where federal and state funding continues to be available).

A Study of State Programs in Bilingual Education

This study was designed to describe State programs in bilingual education, including authorizing legislation, identification of objectives, and mandated or prohibited practices. The study found that, as of December 1976, local educational agencies (LEAs) in 40 states could legally implement bilingual education programs; of these, 38 had bilingual projects. LEAs in ten states were prohibited by law from giving classroom instruction in any but the English language; four of these, however, chose not to enforce this prohibition by operating ESEA Title VII (Bilingual Education Act) projects. Thus, 42 of the 50 States had operating bilingual projects during the 1975-76 school year.

Of the 19 states legislating State bilingual education programs in the 1975-76 school year, 16 appropriated funds specifically for bilingual education. The financial support reported by these States varied greatly from $19 per student to $431 per student. Only four States and one extra-State jurisdiction reported having allocated more State funds for bilingual education than they received from the Federal government during 1975-76. In addition to local and State funds, 18 Federal programs provided financial support; 90% of Federal funds were provided through ESEA Title I and ESEA Title VII funds (37% and 53%, respectively).

Twenty-two States reported over 1.3 million school students as limited English speakers and therefore eligible for bilingual education. Of these, approximately 500,000 students (40%) were enrolled in bilingual instruction programs. Of those enrolled, over 80% spoke Spanish as their home language.

Evaluation of the Follow Through Program

The goal of the Follow Through Evaluation is to identify effective approaches for the education of low-income children in kindergarten through third grade. Preliminary results of large-scale, multi-year evaluation can now be reported. (A final report is to be released in late fall 1977.) Results of the evaluation are generally inconclusive; across all models and measures, FT site groups significantly out-scored matched comparison groups on 12.8% of the contrasts; comparison groups out-scored FT on 19.6% of contrasts; and in 67.6% of contrasts no clear advantage could be identified. Comparison groups were drawn from similar educational circumstances and generally received supplemental services through such programs as Title I. One approach, the Direct Instruction Model, sponsored by the University of Oregon was more successful on most measures than the other approaches; however, even that model was not uniformly successful in all sites. Several other models showed success on some measures in particular sites. In many cases and for most models the results were inconclusive either because the evidence was not strong enough to permit judgments to be made or because the evidence was mixed (i.e., the results were positive in some sites, negative in some and neutral elsewhere).

Evaluation of the Emergency School Aid Act Basic and Pilot Grant Programs

A three-year evaluation of the Emergency School Aid Act Basic and Pilot Grant programs indicates that, by the end of the third year, the program appears to be having some impact on student achievement. This impact was limited to the Basic Elementary sample. Conclusions could not be drawn about ESAA impact in the Basic Secondary and Pilot Elementary samples because similarities in patterns of expenditures between treatment and control schools indicated that for these two samples ESAA and non-ESAA students were receiving the same kind of education Regarding program attributes most effective, student achievement was higher in those programs where (a) there was strong administrative leadership behind the ESAA program, (b) instructional practices relied heavily on the use of behavioral objectives and individualized instruction, and (c) emphasis was placed on equality of educational opportunity. The program does not yet appear to be having any effect on student perception of school climate.

Title IV of the Civil Rights Act of 1964: Expansion of Program Responsibilities

A follow-up to the above study was conducted in order to examine the impact of the addition of sex discrimination responsibilities upon the Title IV program. The study found no evidence to support concerns that one type of service (either sex discrimination or race desegregation) might smother the other. However, there could be problems in the future as the demand for long range assistance and training services relating to sex discrimination increases. General Assistance Centers are the best qualified Title IV agency to provide such services. The study found that State Education Agencies are now the main provider of Title IV sex discrimination services.

Title IV of the Civil Rights Act of 1964: A Review of Program Operations

The purpose of this study was to examine factors which affect the success of projects in delivering technical assistance and to suggest ways of improving the program. Two of the major findings were:

1. The importance of school district support or commitment for action in school desegregation varies substantially among four types of Title IV projects. For Title IV Training Institutes and for direct grants to school districts, such a commitment by the school districts is necessary for Title IV projects to have an impact For General Assistance Centers, this commitment is a contributing factor for impact but for State Education Agency Title IV awards, local commitment is not important.
2. A major problem for the Title IV program is that, in many respects, it exists in an environment that does not support and is often hostile to school desegregation. In recognition of these constraints, the program has tended to limit its activities at all levels - federal, regional, and project - and often focuses on education-related rather than desegregation-related assistance. The report concludes that the Office of Education should improve the program, starting with the written articulation of a specific desegregation-related mission for the Title IV program.

Selection and Packaging of Four Bilingual Education Projects and Six Compensatory Education Projects

Ten new Project Information Packages have been developed - six describing compensatory reading projects developed with ESEA Title I funds, and four, for the first time, describing exemplary bilingual education projects developed with Title VII (Bilingual Education Act) funds. The packages for the four bilingual education projects will be field tested in 19 sites during the 1977-78 and 1978-79 school years. The packages will be revised on the basis of user input and then released for wide-scale dissemination. Since the compensatory education packages represent a second set of such projects, they will be released to the field for immediate use with revisions to follow at a later date.

Evaluation of the Field Test of Project Information Packages

The evaluation of the Project Information Package (PIP) field test found that, with very little outside assistance, nearly all of the field test communities were able to implement the management and organizational aspects of the packaged projects. By the end of the field test, the instructional programs had been well implemented in more than half of the projects. (Some of the original project packages did not contain sufficient curricular information to enable teachers to adequately implement the curriculum. This component of the packages has been considerably strengthened in the revised packages now being disseminated.) Well implemented projects were characterized by strong local project leadership and administrative support within the school system. User satisfaction with the PIPs was reported to be high, as indicated by the fact that 11 of the 19 field test sites continued the projects after the field test (and accompanying financial support) ended. To determine project impact on student achievement, the average performance of children in PIP projects was compared to two standards: the expected achievement growth for disadvantaged children, and a somewhat higher standard that was frequently achieved at the originating site. The study found that, although in most projects students achieved the expected achievement growth for disadvantaged children, the higher standard was not achieved.

Evaluation of the National Diffusion Network

The study examined the operations of the National Diffusion Network and the nature of the diffusion and project adoption process. In its two years of funding, the Network secured over 2,000 adoptions of exemplary education projects. One of the most important factors in securing adoptions was that an interested LEA receive some form of personal assistance from the developer of the exemplary project of interest. Most adopters of exemplary projects were rural or suburban school districts; less than 20 percent of adoptions occurred within urban school districts. Adopters usually implemented their project in several schools within the district. Also, most adoptions occurred at the preschool or elementary level, reflecting the fact that most exemplary projects are either preschool or elementary. The study indicated that most adopting school districts were satisfied with the services and assistance received from the Network.

Summary Evaluation of the Developing Institutions Program (Title III HEA 1965)

This study employed existing data on institutions and students from the program and other sources. It found that the quantitative eligibility criteria used by the program did not seem to differentiate between funded institutions, non-funded applicant institutions and non-applicant institutions. Rates of change in activity levels did not appear to be significantly greater in Title III-funded institutions than in non-funded and non-applicant institutions. There was no evidence that Title III institutions were substituting program funds for other sources of institutional income. Institutional characteristics seemed to be more important in the context of the choice of which schools to apply to, than in the context of the choice of which acceptance to take. Financial aid offers appear to be much more important in the context of this latter decision.

Expanding Student Financial Aid Information Services via Part-Time Personnel

Section 493(B) of the Higher Education Amendments of 1976 mandates the Commissioner of Education to report to Congress," concerning his findings and various legislative incentives which might improve the use and quality of services of part-time campus financial aid personnel." To assist the Commissioner in complying with this mandate the USOE Office of Planning, Budgeting, and Evaluation, Postsecondary Programs Division conducted a two stage project.

The first stage utilized the Fast Response Survey System of the National Center for Education Statistics. This system was used to survey a nationally representative sample of institutions of higher education to determine institutional practices and opinions of the use, problems, and constraints on expansion of counseling services of part-time student financial aid personnel.

The second stage utilized a private contractor to analyze the Fast Response and other existing data, convene meetings of interested parties to explore means of expanding information services (especially through the use of part-time SFA personnel), and report on his conclusions regarding a description of current practices and recommendations for improvement of SFA information services.

Study of Non-Resident Postsecondary Student Expenditures

This study used existing data sources to construct estimates of the mean levels of room, board, commutation, medical-dental, miscellaneous, and total non-institutional expenditures for dependent students not living at home, dependent students living at home and for independent students, in each case stratified by family income quartile. Large variation was found to exist for all types of expenditure and student categories, in particular for the miscellaneous expenditure categories and for all expenditures by dependent students living at home. Evidence indicates that expenditures vary far more by geographic location and institutional-cost type than by family income level. These results imply that would be inadvisable to establish nationwide norms in the form of a standard budget for student aid fund disbursement purposes.

Study D - Study of the Impact of Student Financial Aid Programs II

The objective of this study is to assess, within the diverse educational environments of the various states, the impacts of Federal Student Aid on the attendance behavior of individuals, on the financing behavior of colleges and universities, and the financing behavior of State and local governments. Time-series data on institutions and State and local governments for fiscal years 1967-1975 are analyzed predominantly at the State aggregate level.

Among the many findings of this study are that (1) there are wide variations in the level and composition of Federal Student Aid per FTE undergraduate across the states, (2) the higher the educational attainment of citizens of a state the larger the financial commitment of the state to higher education, (3) the institutional distributions of Federal Student Financial Aid do not appear to be systematically related to cost of attendance differentials or to differences in the income distribution of students across the institutional sectors, (4) a relatively large portion of the variation across states in attendance rates (ratio of FTE undergraduate enrollment to 18-20 year old population) is explained by educational attainment of citizens of the state, urban/rural mix, racial and income mixes, institutional mix, and high school graduation rates in the state.

In Support of Preferential Admissions and Affirmative Action in Higher Education Pre- and Post-Bakke Considerations

This study was prepared in response to a request by the Department of Justice for information on the status of Graduate and Professional Education for minority students and their participation in the professions. The report reviewed in detail the social, economic, and educational status of selected minority groups over the past 100 years with special emphasis on their participating in Engineering, Law, Medical and Health Professions. Attention was also given to Affirmative Action and the Federal Government, the need for Preferential Admissions to graduate schools for minorities and if Bakke wins, the expected chilling effect on affirmative action programs.

The author concludes that:

> "In spite of the limited gains made by the various minority groups consequent to Civil Rights Legislation of the 1960's, evidence clearly indicates that equality of opportunity has not been achieved. This assertion is supported by our examination of empirical data describing the economic and educational status of selected minority groups."

Higher Education Panel (HEP)

This study surveyed a representative sample of institutions of higher education to determine selected characteristics of student aid recipients, including their distribution by sex, racial/ethnic group, and enrollment status (full-time vs. part-time, undergraduates vs. graduate students). In addition, data on family income were obtained for dependent undergraduate recipients, and an estimate of the average amount of aid awarded was obtained for full-time students.

Among the findings of this study were: (1) Almost two million students (unduplicated count) received aid in 1976-77 from one or more of the BEOG, SEOG, NDSL, and CWS programs, (2) 73% of the recipients were in public institutions, (3) 54% were women, (4) 35% were minority students, (5) minority students constituted 43% of BEOG recipients and 17% of GSLP recipients.

State Uses of Federal Education Funds

Section 437 of the General Education Provisions Act calls for an annual report by each State showing the local uses of Federal education funds under 26 State administered programs.

The second cycle of this report was completed in 1977. Data were collected showing the grants made by the States in 1976 for these programs, and the expenditures and participants for grants made in 1975. For five programs, expenditure purpose data were also collected.

As required by Section 437, a summary and an analysis of the data were submitted to the Congress. The presentation was in the form of 9 analytical tables, as follows:

- Table 1 shows for each State and program the current and carryover funds available to the State, and the total of grants made;
- Table 2 shows the reported sum of expenditures (for each State and program) and the breakdowns by expenditure purpose for 5 programs;
- Table 3 shows (for 13 programs) the expenditures, participants, and dollars per participant;
- Table 4 shows the percentages of a State's LEAs actually receiving grants under 18 LEA-oriented programs;

State Uses of Federal Education Funds: (Continued)

- Table 5 shows expenditures by State and program broken by type of agency receiving funds;
- Table 6 presents a distribution by size of grant, of grants to LEAs;
- Table 7 presents a distribution by size of LEA, of grants to LEAs;
- Tables 8 and 9 show a distribution of LEA grants related to the wealth of the county in which the LEA is located.

These analyses allow new insights into the distribution policies of individual States, and variations in administration of the different State administered programs. They offer evidence that there is a concentration of suballocated funds among the more needy areas in the various States.

Comparative Analysis of Postsecondary Occupational and Educational Outcomes for the High School Class of 1972

This study is concerned with the members of the High School Class of 1972, especially for the period between their graduation from high school in the early summer of 1972 and the time of the First Follow-up Survey which was conducted approximately 18 months after graduation.

Findings indicate that in contrast to earlier cohorts, relatively large numbers of Whites from the Class of 1972 did not go on to college. The increasing enrollment trends of Blacks continued, bringing the proportion of Blacks enrolled in college up to a par with that for Whites. Owing to increases in population size, the declining enrollment rate did not result in appreciable declines in the actual numbers of students enrolled in colleges, and for those who did not go to college, nearly one-third could be found in special schools, generally vocational or technical in nature.

At the time of the First Survey sixty-five percent of the Class of 1972 was employed and eight percent were out of work. The employment of Blacks was lower than that of Whites. Graduates of the vocational high school curriculum were employed at higher rates than others.

Forty-one percent of the class was taking academic courses in a college or university. Whites were more likely than Blacks to be taking academic course work, but Blacks were more likely than Whites to be taking vocational or technical postsecondary courses. In general, females tended to take courses of shorter duration than did males. Twenty-nine percent of the class' females indicated they were homemakers. Marriage was less frequent among Blacks than Whites, but the presence of children was more prevalent among married Blacks than married Whites.

Earnings during the study period were similar for Blacks and Whites, but much greater for males than females. The incomes of graduates of the vocational high school curriculum tended to be greater than those of general or academic graduates, but these results must be tempered by the fact that academic graduates tended not to be in the labor force.

An Analysis of Selected Issues in Adult Education

This study defines adult education in terms of five types -- adult basic education, adult secondary, job-related, functional, and personal development. The project deals with the needs for each type, describes the current responses to those needs at Federal, State, and local levels, identifies and analyzes the differences between needs and responses, and explores alternative roles or policies for the Federal government.

The study was based entirely on secondary data sources including Census, NCES adult participation reports, OMB Federal program descriptions, and bibliographic information. Economic and social analyses were made for each of the five types of adult education, and these examinations added to those mentioned above provided the bases for identifying alternative Federal roles or policies.

Among the findings are the following: (1) Participation rates suggest that the most likely candidates for adult secondary education programs are the young, the drop-outs, and the minorities. (2) Job-related education is by far the largest of the five categories of adult education in terms of numbers of participants. In 1972 there were 8.5 million, or 54 percent of all adults not in school full time who reported taking any courses. (3) Economic and social analyses indicate that, because of our rapidly changing society and environment, many persons, particularly the less educated, lack the competencies required to function effectively. These competencies are no longer learned from family, peers, and community. Consequently there are growing needs to help adults learn how to cope in modern society.

Assessment of Bilingual Vocational Training Programs

This mandated study jointly monitored by the U.S. Office of Education and the Department of Labor assessed the status and need of bilingual vocational training in all 50 States. The inventory identified 98 programs in 21 States for persons 16 or older who are no longer attending elementary or secondary schools. Approximately 13,000 students are enrolled at any given time in bilingual programs which provide occupational training in nearly 400 courses in seven major occupational areas. The largest area, trade and industrial, has about 170 courses in 35 different skills. Thirty-seven (38 percent) of the programs are in California. Sixty-nine (81 percent) are in eight States: California, New York, Texas, Arizona, Pennsylvania, New Mexico, Massachusetts, and Connecticut. Most programs are offered by local education agencies, junior and community colleges, regional occupational centers, ethnic institutes, Job Corps and manpower agencies.

Programs generally appear in areas of high concentrations of limited-English-speaking populations. This pattern of development results from factors other than need alone, because limited-English-speaking populations exist in many areas without bilingual vocational training programs.

The practice of providing English-as-a-second language (ESL) training prior to, or concurrent with, vocational training is the common approach in training persons serving limited English-speaking populations. This approach may be the most common because ESL instruction programs and capability exist in many locales. Thus, ESL instruction is a widely available and visible option for program planners.

Study of Vocational Programs for Disadvantaged Students

The study examined the operation and administration of programs for the disadvantaged under the State Grant set-aside program and the Part A, Section 102(b) in 23 States. Eighty-four projects were visited, 62 secondary and 22 postsecondary.

Interviews with State and local administrators indicate that they have difficulty in interpreting Congressional definition of "disadvantaged". The most commonly used critieria was academic, that is, students who are one or more grade levels behind their peers.

Most of the Federal funds were used to hire staff who work directly with students. Only a small portion of funds were used to hire administrative personnel and the result appeared to be a lack of planning and monitoring at all levels. Administrators did indicate that many of the programs in operation would not exist without the set-aside funds.

Almost half of the high school students in the sample were enrolled in work experience programs. However, the vast majority of students enrolled in such programs (86 percent) were not receiving skills training in school. Concern was expressed that most of the jobs assigned were in low-skilled, high-turnover occupations.

Positive outcomes for the programs included an average of 83 percent completion. The student participant ratings of the programs were highly favorable and the employer ratings of the programs and their students were also favorable.

Assessment of Selected Resources for Severely Handicapped Children and Youth

This study reviews the type and quality of services provided by 100 institutions rendering program services to 8615 severely handicapped clients 21 years of age and under. Care for these clients was provided in residential facilities, day facilities, and facilities offering both day and residential programs. Data gathering techniques included: extensive literature and record review, indepth interviewing, and observations of staff-client interactions and activities.

Findings indicated that service delivery patterns did not vary uniformly in quality, type and cost by type of provider (day, residential, or mixed), primary handicapping condition provider served (e.g. deaf-blind, emotionally disturbed, mentally retarded, or severely handicapped), and type of program opportunities offered (e.g. rehabilitative, educational, or medical). Services provided were characteristically different when rendered by day, residential, or mixed facilities. Quality of care and services, staff/client ratio, and type of services differed by the primary handicapping category of clients served in the facility; e.g., quality, cost and programs offered to mentally retarded differed from those for deaf-blind clients. Approximately 75 percent of providers expenditures were personnel costs. The largest personnel expenditures were for certified teachers, attendants and administrators. The remaining 25 percent went for other operating outlays.

The population of served severely handicapped are not uniformly receiving quality programs. Programs provided in day facilities were not found to be less costly or of a better quality than those offered in residential facilities. Most significant is the finding that the quality of a providers program did not relate to dollar expenditures.

E. Uses of Evaluation Activities

While the design and conduct of good evaluations is difficult, costly, and time consuming, the application of evaluation findings is an even harder thing to accomplish. Evaluation findings must be intricately timed with policy, budget, and legislative processes in order to influence them. There is inevitable resistance to accepting critical judgments about programs, and great difficulty in overcoming the inertia of established practice in attempting to make change. Nevertheless, an increasing number of the evaluations begun since the OE evaluation program became a serious effort are now coming to completion, and there are indications that some evaluations are having an influence upon decisions about programs, budgets, and legislated authorities. There are also indications that OE's increasing activity in technical assistance for evaluation at the state and local levels, particularly as regards the ESEA Title I program, is being well received and having a growing impact on the conduct of evaluation.

1. Several recently completed studies indicate that compensatory education is beginning to have a positive impact on disadvantaged children in that there is fairly widespread evidence of improvements in basic skills which can be attributed to programs like ESEA Title I and ESAA. Though the educational problems of disadvantaged children are far from solved, the new evidence does constitute a pronounced shift in the outlook. As such, the results are being used in support of budgets for compensatory education programs. They also provide a basis for continued emphasis on classroom activities directly

aimed at improving basic skills in reading and mathematics.

2. In January 1977, the Congressional Budget Office prepared a budget issue paper entitled "Elementary, Secondary and Vocational Education: An Examination of Alternative Federal Roles." The issue paper referred to findings of A Study of Compensatory Reading Programs: A Technical Summary in its discussion of the educational effects of ESEA Title I. It also made extensive use of material from the Annual Evaluation Report on Programs Administered by the U.S. Office of Education, Fiscal Year 1975 in the analysis of the Emergency School Aid Act and of other OE programs.

3. The interim report from the Impact Study of ESEA Title VII bilingual education programs influenced the development of Congressman Albert Quie's bill (H.R. 7571) for reauthorization of the Elementary and Secondary Education Act. Congressman Quie was quoted by the Education Daily of June 6, 1977 as saying that his bill's proposed changes for the bilingual education program had been "prompted" by recent evaluation reports sponsored by the Office of Education. Several provisions of the bill directly addressed the Impact Study's findings on English-language proficiency levels and English-language achievement gains of project students.

As a further result of the interim report from the Impact Study, the Senate Committee on Appropriations expressed its concern regarding selection and retention of students in Title VII projects. In its Report accompanying H.R. 7555, the FY 1978 Appropriations Bill, the Committee referred to the evaluation in expressing its concern and then directed DHEW to make "...whatever administrative changes are necesary to ensure that bilingual education projects are primarily focused on achieving English language competence and returning students to English language classes."

4. An earlier study of the ESEA Title VII bilingual program found that two major problem areas in bilingual education are a severe shortage of trained teachers and a perceived lack at the project level of adequate bilingual curricular materials. These findings have resulted in an increased emphasis on staff development and training and on development of curricular materials. The proposed budgets in bilingual education reflect this "capacity building" thrust in the allocations for these two categories of activities.

5. Testifying in May 1977 before the House subcommittee on Elementary, Secondary and Vocational Education, Chief State School Officer Barbara Thompson of Wisconsin noted that "legislatively supported Title I Assistance Centers, technical assistance for state and local education agencies...have been successful in enhancing state agency capabilities to comply with educational data demands, but represent only a minor investment in addressing a major problem. I would definitely recommend increased appropriations and support for this type of activity." Ms. Thompson is Chairperson of the Committee on Coordinating Educational Information, of the Council of Chief State School Officers.

6. The evaluation project, State ESEA Title I Reports: Review and Analysis of Past Reports, and Development of a Model Reporting

System and Format. (June 1974-75) resulted in three evaluation models as required by Section 151 of ESEA, Title I (P.L. 93-380). They prescribe standard techniques and generate data which can be tabulated and aggregated at State and Federal levels. Work in this area has greatly affected Title I evaluation practices in LEA's and SEA's nationwide. During the school year 1976-77, the three standard evaluation models were in use in some school districts in over 20 States; they will be used in nearly all States in 1977-78. Materials are disseminated by the Office of Planning, Budgeting, and Evaluation to support the adoption of the new methods and include draft copies of reporting forms and instructions, technical pamphlets about specific evaluation problems, and a "User's Guide" or overview of the entire evaluation system. In the first three months after the completion early in 1977 of national evaluation workshops, over 2000 copies of the materials were distributed by OPBE in addition to copies distributed by personnel in the Technical Assistance Centers under contract to OPBE.

7. A study of assistance for school desegregation (National Opinion Research Center, Southern Schools: An Evaluation of the Effects of the Emergency School Assistance Program and of School Desegregation) indicated that human-relations programs in schools were effective in improving the attitudes toward integration of urban white students. In addition, black student achievement test scores were higher in schools where white students had more positive attitudes toward integration. As a result of the study, steps were taken to increase the funding of human relations actitivies under the

Emergency School Aid Act. The Regional Offices were informed of the results and were asked (through formal memoranda and through ESAA training sessions) to encourage applicants to include human-relations components in their ESAA grant proposals. In addition, the Commissioner of Education approved a Policy Implications Memorandum (PIM) recommendation "to use administrative action to increase the relative emphasis on human relations activities to some proportion (such as 30%) of funds."

8. Another evaluation of school desegregation also supports human relations programs and other methods of teaching for effective race relations. One report of this study, A Handbook for Integrated Schooling, is a non-technical practical guide intended primarily for principals and teachers. It provides illustrations of specific practices and policies as well as suggesting ways of building a school environment that is supportive of school desegregation. By March 1977, 11,500 copies of the Handbook had been distributed.

9. A number of studies contributed to the development of two budget projection models. These include (1) the BEOG Enrollment/Student Aid Model and (2) the GSLP Loan Flow Model (which projects interest subsidy and defaults) over the past five years. These models were developed to study the impact of alternative student aid programs by simulating program costs, by estimating impact on participants, and a variety of other planning and analytical purposes. More specifically:

(1) The BEOG Enrollment/Student Aid Model was used by both the Administration and Congress to project the estimated costs and benefits of the Basic Grant Program during the hearings for the Higher

Education Amendments of 1972 and 1976 and for subsequent budget submissions and planning activities.

The GSLP Loan Flow Model, which was preceded by a historical analysis of program operations, has been used to:

(a) Identify the potential magnitude of the default problems under specified assumptions of changes in program operations, management, and staffing.

(b) Estimate the level of interest and default subsidy necessary for budget purposes.

(c) Identify the characteristics of the default experience by institutions, lenders, and borrowers.

10. A study of the Guaranteed Student Loan Program recommended that the GSLP Special Allowance paid to banks vary directly for each fiscal quarter with the latest 90-day average of either 91- or 180-day Treasury bills. That study, and the Survey of Lenders in the Guaranteed Student Loan Program, both showed conclusively that lenders were receiving low net yields (or losses) from their participation in GSLP. These findings appear to be directly related to the increase in the maximum Special Allowance from 3.0 to 5.0 percent beginning in FY 1978, as mandated in the 1976 Higher Eduation Amendments. As a result, lenders would be able to maintain profit margins on these loans during periods of very high interest rates when the "formula" would result in a Special Allowance above the current 3.0 percent ceiling.

The Survey of Lenders indicated, as one of its findings, the difficulties which commercial lenders experienced in obtaining current information (including addressees) from educational institutions on the status of borrowers. This finding can be related to a new provision in the 1976

Higher Education Amendments which authorizes a $10 fee per borrower to be paid to the educational institution as an "administrative allowance" for provision of timely information to lenders.

Both studies indicated that a primary dissatisfaction of lenders was with the delays in payment of claims by USOE, and with the concomitant lack of a provision for payment of interest to the lender during the period after the claim is submitted but before it is paid. The 1976 Higher Education Amendments remedy this situation by providing payment of interest during the period of delay in payment of interest billings. The 1976 Amendments provide for OE payments to a lender of daily penalty interest for any period of delayed payment exceeding 31 days after receipt of an interest billing.

11. Findings of A Study of Accreditation and Institutional Eligibility have been made available to the Federal Trade Commission and to several Congressional committees. This study has promoted an understanding of the process for establishing institutional eligibility for Federal programs and the limitations of using that process. New FTC regulations relating to proprietary institutions were developed in part on the basis of findings from this study. New legislation has been passed which is quite consistent with the spirit of the recommendations in the report regarding eligibility of institutions for participation in all student-aid programs.

12. Findings of Career Education in the Public Schools 1974-75: A National Survey were cited by OE's Executive Deputy Commissioner for Educational Programs in support of the Administration's position on proposed legislation in career education. The testimony was given on June 14, 1977 during hearings on S. 1328

and on H.R. 7, similar bills which would begin a large state-formula career-education program.

13. As a result of some early findings in an "Exemplary Projects" evaluation in career education, work was initiated on a handbook to help practitioners evaluate these and other projects associated with career education. All Project Directors received copies of the first draft of the handbook, entitled A Functional Guide to Evaluating Career Education. Of the 20 reports of third-party evaluations available in September 1975, all showed clear evidence that the handbook was used. The revised version was distributed to Directors of all career education demonstrations initiated in June 1976 by the Office of Career Education. In addition, the National Institute of Education is utilizing information on instrumentation which was gathered during the development of the Functional Guide.

14. OPBE's Assessment of Vocational Education Programs for Handicapped Students which reviewed 25 States, and the GAO study of vocational education programs in seven states, were completed during 1975 and both were circulated widely in Congressional Committees. Both studies addressed in detail the administrative problems inherent in the existing system and described how States set priorities and allocate funds. Planning was reported as usually short-term and generally directed toward justifying certain projects. Lack of adequate management information inhibited planning and resulted in inadequate monitoring and evaluation at the State and local levels. In the 1976 Amendments to the Vocational Education Act of 1963, Congress requires and authorizes funds for planning efforts at the State level, and mandates program planning and accountability efforts aimed at improving evaluation

at the Federal, State and local levels. The 1976 Amendments also require the development of a national vocational education reporting and accounting system.

15. During the final analysis phase of the Assessment of Vocational Education Programs for Disadvantaged Students, an intense effort was made to disseminate preliminary findings. During August 1976, a special interim report was sent to Congress on the status of the legal definition of "disadvantaged students" and its effect on how the program was administered. Preliminary study findings were thus available to the Congress during the drafting of P.L. 94-482, the Education Amendments of 1976.

16. On the basis of the Evaluation of the Exemplary Vocational Education Projects Program, Part D, VEA, USOE identified seven major areas in the FY 1976 Proposed Rules and Regulations for the Program designed to correct weaknesses noted in the report. The study found that there were management problems at both the federal and local levels which account for a lack of impact in most of the projects. The Program had been in operation only three years when the evaluation was done, and the immediate response through specific changes in operating procedures reflects fairly rapid utilization of evaluation results in a developing program.

17. The findings of an evaluation of the Community-Based Right-to-Read Program made significant contributions to the guidelines for the establishment of reading academies for adult illiterates. Legislative provision for such academies is found in Section 723, Title VII, P.L. 93-380. Several major findings of the study are now encompassed in program guidelines.

18. A Study of the Title I Migrant Education Program emphasized problems in the current fund-allocation formula and procedure, providing impetus to the conversion to data in the Migrant Student Record Transfer System as the basis for full allocation. That conversion, recommended by the study and authorized by P.L. 93-380, was subsequently approved by OE.

19. A reanalysis and synthesis of evaluation data for State programs under ESEA Title I during the period of Fiscal Years 1965 through 1970 led to a number of recommendations regarding program policy, budgeting and management. These recommendations were incorporated into a Policy Implications Memorandum which became an executive document upon signature by the Commissioner of Education in December 1972. Study recommendations were also the basis for subsequent development of the "Packaging and Dissemination" Program referred to later in this section and in Section F of this Report.

20. A Study of the ESEA Title I allocation formula during 1972-73 forced consideration of the hard trade-offs involved in changing the formula or leaving it alone. Many alternative computations were provided Congressional Committees in their considerations of P.L. 93-380 (the Education Amendments of 1974) and the study did have an influence on the final legislation.

21. USOE has conducted several evaluations of performance contracting and of the use of incentives in elementary education. These studies generally found that performance contracting, or incentives for teachers, did not result in improved student achievement. The findings were widely

disseminated and served to dampen a growing but unwarranted enthusiasm in the educational community for these approaches. It is likely that, without these studies, many school systems would have initiated performance contracting and/or incentive projects.

22. The Analysis of Relationships Between Achievement Gains and Per Pupil Expenditures failed to find evidence for the fairly wide-held notion that a fixed dollar amount (e.g., $300 per pupil) of compensatory education funds is necessary for significant education achievement gains among disadvantaged students. The study resulted in a Policy Implications Memorandum to the Secretary of HEW which recommended (successfully) that the Department no longer promote the "critical mass" position.

23. The findings and recommendations from The Federal Role in Funding Children's Television Programming have evoked wide interest in the field. The National Association of Educational Broadcasters (NAEB) awarded the 1975 NAEB Book Award for this first major policy study of this area, and have arranged for commercial publication of the report. The report has been the subject of specific sessions at several professional conventions, and was reviewed and discussed by its author and USOE at meetings of the Corporation for Public Broadcasting.

24. Several OPBE studies that attempted to identify effective projects in compensatory education led to the planning and implementation of the "Packaging and Dissemination" Program under the authority of the Special Projects Act in P.L. 93-380. The program promotes the implementation of effective educational projects whose development was supported by OE. To date, 12 projects in compensatory education and 4

projects in bilingual education have been "packaged" after approval for dissemination by the OE Dissemination Review Panel. Six of the compensatory education packages have completed field testing and are being disseminated to the field.

The packages based on effective projects were called Project Information Packages (PIPs) and were developed to provide adopting school districts with guides, manuals and other materials with enough detail to enable adopting schools to carry out all aspects of planning, starting and operating the projects.

The Packaging and Dissemination Program also supports the National Diffusion Network (NDN) and its efforts to disseminate information (including but not limited to PIPs) about effective projects, products and practices in many fields of education. The Network appears to be well received by States, school districts and the Congress, and has already encouraged numerous attempts at replication of effective projects.

25. A study to identify effective projects in the ESEA Title VII Program resulted in approval of four projects by the Dissemination Review Panel. Descriptions of the four projects were disseminated nationally by the Title VII-funded national network of Training Resource Centers to school districts interested in a Spanish-English or French-English education program. OE has also developed Project Information Packages (PIPs) for each of the four projects, and the PIPs will be field-tested during the 1977-78 and 1978-79 school years in those school districts that receive Title VII grants to implement the projects. The field test was one recommendation of the Policy Implications Memorandum

(PIM) based on this study.

26. In 1971 and again in 1973, when all indications suggested that colleges and universities were near financial disaster, the Cost of College studies identified components of increasing costs as equally divided between inflation and decreasing productivity on the part of the faculty. Since faculty costs account for over half the cost of education, a substantial part of the increase in the cost of education could have been controlled. The studies influenced the Departmental position to allocate available resources primarily to finance students instead of institutions.

In FY 1975, the finances of 50 selected four-year colleges were reviewed in detail. Although the first study had suggested that the state of college finances was generally healthy, the last investigation suggested that while no institution in the study groups level had yet closed its doors, a number of the colleges may be on the verge of financial distress. These findings were used extensively for a policy paper on institutional aid which was submitted to the Secretary of HEW in January 1976.

27. Studies have been completed for the Upward Bound, Talent Search and Special Service programs for disadvantaged students. As a result,evaluation findings have been used in the writing and/or revision of regulations for the UB, TS, and SSDS programs so as to improve award procedures, overall program management, and monitoring and reporting procedures.

28. From one major study and a series of smaller related efforts for the Developing Institutions Program, the concept of the Advanced Institutional Development Program was developed. Study results were also used for definition of program purposes and operational guidelines as the new program moved toward implementation. The basic elements of a planning and management system were defined, together with suggestions for selecting institutions for the program.

29. The National Longitudinal Study of the High School Class of 1972, funded by OPBE and NCES, was employed to generate information for the Department of Justice's examination of postsecondary admission/selection procedures. DOJ employed the analyses of the expected impact of the three procedures on minority participation in the preparation of a Friend of the Court brief for the U.S. Supreme Court hearing of Bakke vs. University of California, Davis.

30. During a study entitled "Improving Consumer Protection Functions in Postsecondary Education," a student consumer-assistance kit was developed. The kit is entitled Safeguarding Your Education: A Student's Consumer Guide to College and Occupational Education, and contains two audio cassette tapes and background information which explores available options for students before making decisions. This student information kit is now being commercially distributed.

31. An interim report from a major study of Federal programs supporting educational change identified a number of factors contributing to the successful implementation of educational innovations. The results of the study are being used in various OE efforts such as the program to disseminate Project Information Packages and the development of strategies for disseminating successful Follow Through models. The results of the study have also been instrumental in NIE's planning for dissemination of research findings.

32. An important outcome of federal evaluation studies has been the publication and distribution of "how-to" handbooks on topics in the area of education evaluation. Two handbooks are currently available and several more are being written. The Government Printing Office has sold more than 10,000 copies of the first one published, A Practical Guide to Measuring Project Impact, in the year it has been available. In addition, USOE has distributed nearly a thousand copies. More than 3,000 copies of the second handbook, A Procedural Guide for Validating Achievement Gains, have been sold since it became available six months ago. Handbooks are currently being written on such topics as students' affective development, cost analysis for educational projects, and assessing bias in achievement tests. USOE is soliciting ideas for more topics to be included in the series.

F. EVALUATION OF ELEMENTARY AND SECONDARY EDUCATION PROGRAMS

F. Evaluation of Elementary and Secondary Education Programs

Most evaluation findings on elementary and secondary education programs can be placed in one of two categories: (1) those pertaining to the impact of programs aimed either at directly improving the quality of education for large numbers of children or indirectly improving education by demonstrating better practices for relatively small numbers of children and (2) those which address the issues of how to bring about changes in the schools and what constitutes good changes. Although this dichotomy provides a useful way to summarize the results in the paragraphs which follow, a given evaluation project may supply both kinds of information. In addition to conducting evaluations of educational programs, the Office of Education was given, in the Educational Amendments of 1974, responsibility to upgrade State and local evaluations of the ESEA Title I program. The steps being followed in carrying out this mandate are also summarized below.

(1) The Impact of Federal Programs on Students

Addressing the special needs and problems of educationally disadvantaged children has been acknowledged as a Federal responsibility since the legislation of 1965 and a number of major Federal programs have the disadvantaged target group as their main concern. The principal program at the elementary and secondary level is Title I of the Elementary and Secondary Education Act (ESEA), a large service program intended to address the locally determined needs of the target population. Another program, Title VII of ESEA, is much more limited in scope, aimed as it is at the special education requirements of persons of limited English-speaking ability. Recent amendments to Title VII (P.L. 93-380) provide a three-fold rationale for the portion of the law administered by the Office of Education: as a demonstration program, as a training program for educators, and as financial support for the development of bilingual/bicultural materials. A third program, the Emergency School Aid Act (ESAA), addresses the needs of desegregating school districts. While not limited to educationally disadvantaged children, in practice the program does provide disproportionately greater services for that target population than for non-disadvantaged children.

There seems little doubt that the most universal concern about the education of disadvantaged children, shared by educators and lay public alike, is that poor children, minority-group children and children of limited English speaking ability do not acquire the basic skills in language arts and mathematics as well as the general population. This educational disadvantage naturally spreads to other aspects of school performance as the children face the mastery of more complex subjects, and later the life-coping skills needed by adults.

Before proceeding to results from Federal education programs, it should be noted that recent years have seen renewed concern that children from the general population are also performing at unacceptably low levels and in some cases getting worse. Scores on college entrance examination tests (SAT and ACT) have shown yearly declines and new reports from the National Assessment of Educational Progress (NAEP) indicated declines in student's writing skills (except for 9-year olds) and knowledge of science.

A first time report on consumer math skills shows unexpectedly low performance in that area. The results of two studies of functional literacy (NAEP and the University of Texas) indicated unacceptable levels of illiteracy for an advanced nation. There have been, however, two somewhat positive notes from NAEP. The first is that the functional reading skills of 17 year olds, while low, were better in 1974 than in 1971. Moreover, it was the children of parents with little or no high school education who showed the greatest improvement. Second, an NAEP report released in 1976 indicated reading improvements for 9-year olds between 1971 and 1975. Black 9-year-olds gained more dramatically than did the population as a whole. The reading ability of 13 and 17-year olds changed little during the same time period. Finally, an Office of Education sponsored study which drew upon standardized reading test results over the past 50 years indicated that students of today out-perform their counterparts of 20 years ago or earlier. The analysis revealed a trend of gradual improvement in reading skills from 1925 to 1965 but then a leveling off or possibly a slight decline in the past ten years.

The foregoing findings and others help to put in perspective the results from evaluations of Federal programs for disadvantaged children. The overall picture for the general population is one of declining test scores for about the last 10 years for grades five and above. The declines have been more pronounced at the higher grades. Although the evidence on test scores in the early grades is less comprehensive, there are indications that there has not been a similar decline at the primary level. In recent years there is even some evidence of improvement in reading by the categories of children who tend to be among the disadvantaged population.

Title I presently serves nearly 6 million children at a cost of about two billion dollars per year. It is by far the largest single program focused on the needs of disadvantaged children. It is broad with respect to the kinds of activities which can be supported and resource allocation decisions are largely left to local discretion subject to State approval.

There is nevertheless considerable concentration on instructional services and especially on reading in the elementary schools. Recent studies indicate that participants in Title I reading projects tended not to fall farther behind their less needy, unassisted peers in their reading skill performance during the school year. This result, while positive, does require some further explanation. The strongest data come from a national study of compensatory reading in grades 2, 4, and 6 but there is also other corroborating data (see Title I section of this report). The national study showed that not only was the Title I money accurately targeted on the children with the greatest educational needs but that in terms of reading test scores, the gap between students participating in compensatory reading projects and their more advantaged peers narrowed between fall pre-test and spring post-test. The gap narrowed in the sense that the number of correct answers by disadvantaged students was closer to the number correct by advantaged students in the spring than in the fall.

The study also shows, however, that the percentile rank for the typical student who received compensatory assistance was 22 for each of grades 2, 4, and 6. The percentile rank for the typical student in the study who did not receive compensatory assistance was 46, 48, and 53 for grades 2, 4, and 6, respectively. These results suggest that despite some overall gains from compensatory reading projects during the school year, the target group children are still far below average all through elementary school.

The picture then is one in which Title I projects, when addressed to reading problems, generally seem to be effective during a given school year but in which the target population, for a variety of reasons, remains severely disadvantaged in terms of reading skills. What might seem to be a paradox has several possible explanations including student losses of skills during the summer and students leaving or being dropped from projects after one year of participation. Policy guidance must await results from on-going evaluations designed to identify the factors which contribute to the acquisition and retention of basic skills by minority group and poor children.

Children who enter school with limited English-speaking proficiency face particular problems which Title VII of ESEA was intended to address. (Many of these children also participate in Title I.) The program is intended not only to have a direct impact upon such children but also to help remove some of the current obstacles to bilingual/bicultural education such as shortages of properly qualified teachers and acceptable instructional materials. Although some notion of the extent of teacher and material shortages can be acquired from the first report on the Condition of Bilingual Education in the Nation,* several on-going studies and surveys will provide more precise estimates of the shortages and of program effectiveness in overcoming them. With respect to the direct effects of bilingual/bicultural education on children, some preliminary evaluation results are now available.

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* The Condition of Bilingual Education in the Nation: First Report by the U.S. Commissioner of Education to the President and the Congress. HEW Publication No. (OE) 77-01704. November 1976.

Interim results from an evaluation of Title VII Spanish/English bilingual projects found that participating Hispanic students performed better in mathematics computation than would have been expected had they not been in a bilingual program. This suggests that such projects are, on the average, effective in one of their goals which is to insure that children do not fall behind in various subjects while they are acquiring English. However, tests of English language skills suggested that Hispanic children in Title VII projects did not acquire English as readily as they might have in regular classrooms. These preliminary results are being subjected to more detailed analysis and additional data has been collected which may shed more light on the effectiveness of the bilingual approach. Another notable finding from the study is that, for grades 2 through 6, less than one-third of the Title VII participating students could be classified by teachers as having limited-English-speaking ability. While the legislation certainly permits the enrollment of English-dominant children, so high a proportion of them does raise questions about the appropriateness of the procedures for selecting participants.

One particular requirement of the Title VII legislation is for the Commissioner of Education to publish and distribute models of bilingual education. An evaluation study identified four effective Title VII projects--

three Spanish/English and one French/English—in 1975 and they have now been packaged as a means to encourage widespread replication.*

The purpose of the ESAA program is to encourage the elimination, reduction or prevention of minority group isolation, to meet the needs incident to the elimination of segregation and discrimination, and to help overcome the educational disadvantage of minority group isolation in elementary and secondary schools. Two sub-programs, Basic Grants and Pilot Programs, reserve 79% of ESAA funds and are the subject of a recently completed three-year evaluation. School districts operating Pilot projects are required to use the funds to improve basic skills, and many Basic projects have components with the same objective.

Important findings from the evaluation showed that the ESAA funds were successfully targeted to school districts with needy (i.e., poorly skilled) students and that the funds were generally converted to projects focused upon the students' academic needs. Although students participating in most aspects of the ESAA programs performed about the same as their counterparts in control groups, third and fourth grade students in Basic projects exceeded expectations during the third year of the program. A possible explanation of the positive results is that only in the third-year Basic elementary program did per-pupil expenditures in ESAA projects significantly exceed those of the comparison groups.* Another possible explanation is that it takes several years for compensatory programs to become well enough established to begin having an impact.

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* The projects were packaged using funds from the Packaging and Dissemination Program (q.v.). Beginning in the fall of 1977, a number of school districts will attempt to replicate the successful projects using Title VII funds for financial support. Their efforts will be the subject of another evaluation.

Overall the federal programs for the education of disadvantaged children show mixed results-- they are variable depending upon the grade level, the subject matter, the type of student, the school setting and other factors. However, each of the three programs reviewed here has shown some positive results along with neutral, and occasional negative, results. Although there is a risk of later being proven wrong, the evidence seems to suggest the beginning of a trend towards more positive outcomes for Federal programs. Knowledge of the controllable factors which are associated with success or failure may provide a basis for accelerating the emergent trend. The possibilities are explored in the next section.

(2) Changing Education: How Does It Happen? - What are the Results?

Several Federal education programs and many local projects attempt, in one degree or another, to change and, hopefully, improve educational practices. Several recent OE studies shed considerable light on the process whereby schools change and what happens when they do.

Results from a recently completed study of Federal change agent programs** provide a rich array of possibilities for improving the process of educational change and indicate that some of the conventional wisdom about how school districts behave when trying to solve problems may be wrong. For example, a broad search for alternative solutions which have been tried in other school districts was seldom undertaken and in particular, there was usually not a strong reliance on objective evidence about the effectiveness of a given solution. Instead, local district personnel tended to use educational practices already known to them. There is frequently a feeling that local conditions are unusual and may rule out successful transplantation of an approach that has worked elsewhere.*

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* In most instances, other sources of funds were apparently used as a means to provide ESAA-similar projects for students in comparison schools.

** ESEA Title III, Innovative Projects; ESEA Title VII, Bilingual Projects; Vocational Education Part D, Exemplary Projects; and the Right-to-Read Program.

The absence of a systematic search for alternative solutions to educational problems is somewhat ameliorated by another one of the study's findings. Project success was less determined by the educational method involved than by how well it was carried out. That is, project design considerations, project implementation strategies and institutional factors were so important that similar methods produced dissimilar results across sites. Two project factors were especially associated with success: first, projects which make greater demands on teachers for change result in more change and, second, projects with specific and clear goals were more successful than those with broad and amorphous objectives. Implementation strategies important to success included well-conducted training in project methods and materials, staff-support activities,** and teacher participation in project decisions. Institutional factors which contributed to success included the presence of a good project director, a supportive school principal, teachers' sense of efficacy (i.e., a belief that the teacher can help even the most difficult or unmotivated students) and teachers' verbal ability.

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* Empirical evidence which contradicts this perception is discussed later.

** These activities, such as assistance in the classroom, use of outside consultants, observation of other classrooms and staff meetings, seem to provide feedback and assistance necessary to adapting educational methods to particular classrooms.

The findings from the study of Federal change agent programs are generally echoed and extended by other recent evaluations. Moreover, with respect to the studies reviewed, there seem to be relatively few of the inter-study inconsistencies that commonly bedevil educational research.

The overall conclusions with respect to the four programs studied can be summarized as follows: Federal policies had a major effect in stimulating LEAs to undertake projects but initiation of innovative projects did not insure successful implementation nor long-run continuation. The net return to the Federal investment was the initiation of many innovations, the successful implementation of few and the long-run continuation of still fewer.

Do children learn more when large scale innovations are introduced into the school? Results from a study called Project LONGSTEP* provide some answers. Eighty schools in 13 school districts across the Nation were involved in a multi-year study of intensive educational innovations--that is, programs encompassing a significant proportion of students, entailing a major alteration of school procedures, and involving a high investment of resources. Educational innovations included team teaching, multimedia emphasis, unique school design, use of paraprofessionals, variations in scheduling, and teacher-developed materials as well as independent study, student selection of materials, and a number of other practices typically associated with individualized instruction. Student performance in reading, language and arithmetic was measured over a three-year period.

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* Gary J. Coles, et. al., "Impact of Educational Innovation on Student Performance," American Institute of Research, Palo Alto, California, 1976.

Taken as a whole, students exposed to intensive, innovative educational programs did not do conspicuously better than what is expected of students in ordinary programs. However, the various educational approaches did produce differential effects in achievement (especially in the early elementary grades) and unquestionably dramatic performances were found in some schools.

Probably the most interesting findings from the study pertained to indices which measured the Level of Innovation and the Degree of Individualization. Students enrolled in programs with a more moderate emphasis on innovation and individualization showed the greatest improvement. This certainly should not be viewed as a sweeping criticism but simply that innovation and individualization per se will not necessarily produce positive effects on achievement. Again, it may be that what is done is less important than how well it is carried out.

The Follow Through Program is a major Federal effort to identify effective approaches to the education of disadvantaged children in grades K-3. Twenty two different approaches, or models, have been tried out in sites across the country (most models in multiple sites) and have been subjected to intensive evaluation. The models employ a wide range of strategies including several forms of parental involvement, open education, behavior modification and individualized instruction.

The effectiveness of the models has been examined in terms of basic skills, higher order conceptual skills and affective outcomes (self-esteem and sense of control over one's successes and failures). The most striking conclusion from the evaluation is that the instructional models are not major determinants of educational outcomes and that although the models do differ somewhat in effectiveness there was usually large variation among the various sites using a particular model. Given the substantial amount of money used for the education of most Follow Through children (approximately $800 per child per year more than the average), these results must be regarded as disappointing.

One model was notably more successful than the others when contrasted to the performance of comparison children while for several models the performance of the comparison children was superior. However, most models operated in both positive and negative sites. Moreover, the vast majority of comparisons between Follow Through and non-Follow Through children showed no significant differences.

The findings from Follow Through and Project LONGSTEP seem consistent and suggest the following conclusion--it is possible for schools to introduce new approaches that will benefit students but most innovations being tried will either be neutral or negative in the sense of direct benefits for children. What could account for the infrequent occurrence of positive outcomes? It may be that our understanding of the human learning process is so meagre that even intensive efforts by leading educational innovators will yield improved practices only a small percent of the time. However, it can be argued, with supportive evidence, that some of the innovations have not really had a fair trial. One of the reasons cited is that conditions in the schools prevent implementation of the innovations as conceived. Thus does the character of an educational innovation become inextricably bound up with the process of change in the schools--some things are easier to implement than others and when schools run into trouble they frequently change the nature of the innovation.* A third possibility is that many innovations are working but our evaluation instruments and methodologies are not able to detect the positive effects of a substantial proportion of the approaches.

Another completed study, Conditions and Processes of Effective School Desegregation, examined innovations directed toward improving race relations in desegregated schools. The results show the effectiveness of innovations in instructional practices designed to promote good race relations. These practices include the choice of instructional material(text material with multiracial content) and the teaching of minority group history and culture. The practices also include deliberate efforts to involve black and white students interactively (working and playing together in organized activities) and open discussions of racial issues in the classroom.

High schools with good race relations tended to have principals who were evaluated highly by teachers. These principals were described as supportive of both black and white teachers and as persons of major influence in the school and the community. The impression of interviewers who visited the schools was that the principals of the more successfully desegregated schools had clearly established good race relations as an explicit goal of the school. The innovations to improve race relations were generally introduced with the support of the principal and in some cases with the principal as a direct participant in the innovation. Detailed discussion and examples of specific innovations for race relations and ways of implementing them are provided in a non-technical publication, A Handbook for Integrated Schooling.

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* See the report on Federal change agent programs for findings on this point.

As the foregoing discussion indicates, much effort has been expended in two streams of activity: trying to identify effective educational practices* and trying to understand the process of educational change, especially how that process can be affected by the Federal government. The next logical step is to try to combine the two converging streams. Presently this is being done in a small USOE program called Packaging and Dissemination.

In an effort to disseminate and promote the adoption of exemplary educational practices, the USOE has established a National Diffusion Network (NDN) and has prepared packaged materials (Project Information Packages or PIPs) as a means for communicating the information necessary for replication of projects. The NDN is composed of LEA grantees which demonstrate and help disseminate information about successful projects which have been reviewed and approved by the Education Division's Joint

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* Studies which seek effective educational practices include many more than those mentioned in this section. Indeed most of the evaluations conducted in elementary and secondary education include such an objective.

Dissemination Review Panel. Project Information Packages have been developed for a select few of all Panel approved projects as very detailed how-to materials for schools to use in starting and operating projects. The PIPs are disseminated via the NDN as well as other means.

Evaluations have recently been completed on both the NDN and PIPs. Well over 2,000 exemplary projects have been adopted in new communities through the NDN and PIP strategies. Both studies found that projects were replicated with considerable fidelity to the originals but almost always with some local adaptations. School officials reported high satisfaction with both Project Information Packages and NDN services. With respect to learning outcomes in the new projects the picture is less complete. PIPs were field-tested in 19 school districts and while participating students usually equalled or surpassed growth in reading and math expected of disadvantaged children, the gains were not dramatic. The impact of NDN (non-PIP) replications on student's performance has not been assessed.

In addition to efforts to improve the academic achievement of disadvantaged children, the federal government has also dealt with issues related to racial desegregation and sex discrimination. The aid provided under Title IV of the Civil Rights Act of 1964 was examined in two recent OE evaluation studies. The strategies for change under Title IV generally differ from those discussed earlier in this section in two ways. First, the assistance is usually indirect in Title IV in that some outside organization (usually a university or State Education Agency) typically provides technical assistance to school district personnel. In contrast, in the programs discussed above, the school district tends to administer the federal award directly (as in the Change Agent programs). Second, and a consequence of this difference, the targets for Title IV aid tend to be adults in the school system. Although an ultimate impact on children is clearly intended with Title IV, they are not direct participants.

The Title IV evaluation found that the impact of school district support for action in school desegregation had varying effects upon the different types of Title IV awards. Such support or commitment seemed necessary for Title IV Training Institutes to have an impact. General Assistance Centers (GAC) had more flexibility. Some well-organized GACs could work effectively with school districts that were generally non-supportive of school desegregation. Local support for desegregation was unimportant for State Education Agency (SEA) units funded by Title IV. In these cases, State rather than local support for desegregation was crucial. Unfortunately, few States were found to have such a commitment, a fact that severely reduced the potential impact of Title IV SEA awards. The study concludes that the federal Title IV program should use these results to target Title IV funds to school districts and States where they are more likely to have an impact.

A major problem for the Title IV program is that in many instances it exists in an environment that does not support and is often hostile to school desegregation. In recognition of this constraint, the program has tended to limit its activities at all levels--federal, regional, and project--and often focuses on activities that have either a loose or no connection with desegregation.

A subsequent follow-up study examined the addition of sex discrimination responsibilities to Title IV. It found no new problems. Sex discrimination and race desegregation assistance are being provided jointly in reasonable harmony.

In summary, the past decade has seen considerable effort by the Federal government to foster change and to improve the quality of education, especially but not exclusively, for disadvantaged children. Early hopes that large-scale intervention programs such as ESEA Title 1 would quickly overcome the disparities in educational outcomes arising from economic and social disadvantage proved overly optimistic. In retrospect, it seems likely that many of the designers and implementers of special programs for the disadvantaged, however well-intentioned, often were not able to produce effective programs. To some extent, educational evaluations have been able to sort out the good from the bad but evaluators too have suffered from an inadequately developed technology. Evaluation designs, measuring instruments and analysis techniques have too frequently led to ambiguous or occasionally invalid findings. Improved technology and better trained evaluators are gradually improving the quality of educational evaluation. This is very important because if it is true that most educational innovations are not improvements, conducting good evaluations is probably the prime way of avoiding expenditure of extra money on approaches which have no beneficial effect.

(3) Overview of the Implementation of ESEA, Title I, Section 151

There have always been requirements in ESEA Title I legislation for the annual evaluation of project services at both local and State levels. Local projects are responsible for using "effective procedures, including ...appropriate measures of educational achievement" for evaluating the effectiveness of Title I projects (ESEA Title I, Section 141(a)(6). They report such data to their States, who must, in turn, submit an annual evaluation report to the Commissioner. USOE is required by GEPA 417 to report annually to Congress.

Attempts at the federal level to use data from the State annual evaluation reports to satisfy this last reporting requirement have been frustrated by the lack of comparability---and often of validity---of the data in them. In August of 1974, Congress amended Title I with the addition of Section 151, which lists specific activities required of the Commissioner. The subsections of Section 151 can be summarized as follows:

"The Commissioner shall

(a) provide for independent evaluations which describe and measure the impact of programs and projects assisted under this title ...

(b) develop and publish standards for evaluation of program or project effectiveness ...

(c) where appropriate, consult with State agencies in order to provide for jointly sponsored objective evaluation studies ...

(d) provide to State educational agencies, models for evaluations of all programs conducted under this title ... which

> shall include uniform procedures and criteria to be utilized by local educational agencies, as well as by the State agency;
>
> (e) provide such technical and other assistance as may be necessary to State educational agencies to enable them to assist local educational agencies in the development and application of a systematic evaluation of programs in accordance with the models developed by the Commissioner."

Subsection (f) of Section 151 describes the models further as specifying "objective criteria" and "outlining techniques and methodology" for producing data which are "comparable on a statewide and nationwide basis." Subsection (g) requires a periodic report on the activities of this section, and (h) requires a system for the gathering and dissemination of results of evaluations and for the identification of exemplary programs.

Those requirements outline a comprehensive evaluation program: conduct evaluations, upgrade evaluation activities at other administrative levels so that reported data are comparable, use those data to--among other things--identify especially effective instructional practices, and disseminate information about those practices. Its implementation involves two mutually dependent but different stategies. One is the use of data compiled and reported upward from the local and State agencies to USOE. Those data will provide an information base which has the qualities of recency (because the data are reported annually) and of breadth (because most if not all of the Title I projects in the nation will be reporting).

The second strategy is the use of Federal studies to measure the impact of the program nationally. The information base generated through this strategy has the qualities of efficiency (data are collected only on a sample of sites nationwide) and of depth (more data can be collected in each of those sites, beyond that possible through self-reports). Each strategy also has its weaknesses: quality control in the reporting system, and infrequency with the national studies. Together, however, the two strategies can adequately and efficiently provide answers to most administrators' questions.

Another observation about the legislation is that it challenges Federal, State, and local Title I administrators and evaluators by calling for a mutual effort to document their programs' operations and impacts and highlights specified approaches for facilitating such an accomplishment. Those approaches are consultation among the parties at all administrative levels, the use of models as a structure for generating comparable data, and the provision of technical and other assistance in support of that structure.

Consultation efforts have taken two main forms: visits have been made to all States and to three local educational agencies in each State to discuss their evaluation activities; advisory groups comprised in part of State and local personnel have participated in both our national studies and in the implementation of the standard evaluation models.

The models developed as a framework for the local and State reporting of comparable data were developed in 1975, discussed in all States in 1976, and further defined in training sessions in 1976/77. They offer alternative, methodologically sound ways for project evaluators to estimate the effects of the Title I services in the basic skills. Enough flexibility is allowed to make them feasible for implementation; enough requirements are established to make them rigorous. Although the probable accuracy of the estimates of project outcomes varies somewhat across the models, each will yield an unbiased estimate of project effects. Therefore, the data will be comparable as required in the legislation.

Technical assistance efforts fall into three categories: user-oriented documents as reference works on the models, training workshops for State administrators, and free consulting services. The last of the three is the most active, direct form of assistance now underway.

Ten Technical Assistance Centers were established under contract to the Office of Education to provide consulting services to States implementing the Title I evaluation and reporting system. Center personnel are available to assist States in presenting workshops, devising evaluation strategies appropriate for local situations, providing advice in the statistical and measurement areas, interpreting the data obtained in evaluation studies, modifying computer programs to help States process data, or providing other services that may be helpful to a State's Title I evaluation activities.

In summary, the Section 151 activities of the U.S. Office of Education are organized to provide data about the effectiveness of ESEA, Title I through two sources--local and State evaluation reports and those produced by national studies. They complement each other in various ways, some of which are discussed on the following pages.

- The reporting system has been designed to provide LEAs with flexibility as to choice of measuring instruments and evaluation designs. This feature maximizes the likelihood that LEA evaluations will be useful at the local level. However, as a consequence of permitting flexibility, the system necessarily introduces a certain imprecision and ambiguity when the data from a variety of instruments are aggregated across LEAs and SEAs. National evaluations have the advantage of a uniform design, a signle set of measuring instruments, and carefully controlled data collection procedures. This means that the occasional national evaluation provides a more precise indication of the national impact of Title I and can also serve as a check against the more frequent but broader-brush assessments provided by the aggregation of LEA data.
- The reporting system has also been designed to minimize data burden for the LEAs. This means, for example, that very little information is reported about Title I project characteristics and that, consequently, little can be said regarding the relationship between such characteristics and successful student outcomes. The national evaluations, on the other hand, are designed especially to detect such relationships when they exist.
- The national evaluations involve very small samples of LEAs because large samples are not necessary for estimating the overall national impact of a program. As a consequence, however, national evaluations do not provide estimates of impact at the State level and provide

estimates of local impact for only a few hundred LEAs. The reporting system will provide State level estimates, subject to the limitations of the aggregating procedures, and, depending upon State decisions about sampling, as many as 14,000 LEA impact estimates.

- One of the strengths of the reporting system in addition to flexibility, is its relative simplicity. Though it demands adherence to certain procedures, it avoids highly intricate evaluation manipulations. For example, there is no requirement for reporting longitudinal data (i.e., two or more outcome measures on the same child and separated by an interval of greater than one year) because this would greatly increase the complexity of the system and the cost to LEAs. (If LEAs choose to carry out longitudinal evaluations they will, of course, be compatible with the system.) However, the answers to some Title I evaluation questions depend upon longitudinal outcome data and these can be well handled by the national studies at far less expense than with the reporting system. The on-going Study of the Sustaining Effects of Compensatory Education exemplifies this point.

Other activities underway in USOE to implement Section 151 include the publication of a newsletter, the drafting of program regulations regarding use of the models, and the development of evaluation methods appropriate in other Title I program settings. These are described in greater detail in Appendix B.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Education of Disadvantaged Children

Legislation	Expiration Date
Title I of the Elementary and Education Act of 1965, as amended Sections 103 and 126	September 30, 1978

Funding History	Year	Authorization*	Appropriation
	1968	$ 1,902,136,223	$ 1,191,000,000
	1969	2,184,436,274	1,123,127,000
	1970	2,523,127,905	1,339,050,900
	1971	3,457,407,924	1,500,000,000
	1972	4,138,377,672	1,597,500,000
	1973	4,927,272,941	1,810,000,000
	1974	4,182,509,627	1,719,500,000
	1975	6,313,857,213	1,876,000,000
	1976	4,371,762,818	1,900,000,000
	1977	4,356,083,000	2,050,000,000
	1978	4,590,900,000	2,285,000,000

Programs Goals and Objectives:

Section 101 of P.L. 89-10, as amended states:

> In recognition of the specific educational needs of children of low-income families and the impact that concentrations of low-income families have on the ability of local educational agencies to support adequate educational programs, the Congress hereby declares it to be the policy of the United States to provide financial assistance (as set forth in this part) to local educational agencies serving areas with concentrations of children from low-income families to expand and improve their educational programs by various means (including preschool programs) which contribute particularly to meeting the special educational needs of educationally deprived children.

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* The total authorization and appropriation levels are reflected in these columns (not just those for sections 103 and 126). In the subsequent Migrant, N or D, and Handicapped sections only their respective totals are reported.

In discussions associated with the preparation of the Education Amendments of 1974 (P.L.93-380) the Report of the House Committee on Education and Labor stated "that local educational agencies should give priority attention in operating Title I programs to the basic cognitive skills in reading and mathematics and to related support activities to eliminate physical, emotional or social problems that impede the ability to acquire such skills".*

Program Operations

. The Funds Allocation Process**

Congress appropriates funds annually to be disbursed by USOE to State and local educational agencies (SEA's and LEA's). Such disbursements are to be made primarily on the basis of the number of low-income children residing in an LEA. Since income information is seldom-available for an LEA, allocations are made to the county level. The formula uses two different kinds of information to compute the amount of funds to which a county is entitled: (1) poverty; plus, (2) a State's educational expenditure or effort. The poverty factors are:

P = the number of children, aged 5-17, from poor families as defined by the U.S. Census (Orshansky Index***).

AFDC = two-thirds of the children from poor families receiving AFDC payments which are above the poverty line (included so as not to penalize States which raise families above the poverty line with AFDC payments).

NDF = the number of children in institutions for the neglected or delinquent, or in publicly supported foster homes.

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* See pp. 20-21 of House Report No. 93-805. Both House and Senate discussions (see Senate Report No. 93-763, pp. 30-31) relative to the special needs of disadvantaged children recognized the importance of basic skills but concluded that State and local educational agencies should be primarily responsible for determining the means to be used to meet the needs of disadvantaged children rather than that such determination be made by federal authorities.

** Allocations for the Migrant, Neglected or Delinquent, and Handicapped portions of Title I are handled in a somewhat different manner--see their respective sections.

*** This index is based on the cost of a minimally adequate diet and on the proportion of income that a low-income family spends on food relative to non-food items. It provides different estimates for age and sex of the head of the family, the number of children and adults, and according to whether or not the family lives on a farm and can be expected to produce some of its own food. Allowances are not made for the cost of living in different areas.

A State's average per-pupil expenditure (SAPPE) is used to indicate its level of effort. Forty percent of this amount is entered into the formula*. A county's entitlement (E) is then computed as:

$$E = (P + AFDC + NDF) \times .4SAPPE$$

Because Title I appropriations are less than the sum of all county entitlements, each county is allocated a pro-rated share of its entitlement (this is called ratable reduction and would not be necessary if the program was funded at its authorized level).

One of the functions a State performs is to determine how allocations will be made from the county to the LEA when their boundaries are not coterminous. Such allocations (called subcounty allocations) are to be made on the basis of data which also reflect the distribution of children from low-income families.

Once an LEA receives its Title I allocation it must rank it's schools based on the estimated concentration of children, aged 5 to 17, from poverty families in each school's attendance area (i.e. both public and private school students as well as dropouts are included in the count).** In making this determination any or all of a number of poverty related measures can be used (e.g., Census count, AFDC, free lunch, housing, health, etc.) if approved by the State. Schools that rank above the districtwide average on the poverty measure are deemed "Title I eligible schools".

An assessment must be made of the special educational needs of children residing in the attendance areas of these eligible schools (called a needs assessment) and an LEA may provide services to all such areas or may focus on those with the highest concentrations of poor children. The guiding rationale is that the services provided must be of sufficient size, scope and quality to give reasonable promise of substantial progress towards meeting the needs of such children (called "the concentration principle").

Once these "target areas" have been identified, services that supplement the regular school program are to be provided to the most needy students, where need is defined in terms of low achievement (i.e., instructional services alone--or when combined with support services--can be provided only to their lowest achieving students). A number of requirements have been developed to insure that Title I funds are used in a supplementary manner. In addition: each district and each school that receives funds is required to have a Parent Advisory Council (PAC) of which a majority of members must be parents of project children. Also, each district is required to serve needy private school students who reside in the "target areas".

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* For purposes of this formula, a State's per pupil expenditure is never calculated at less than 80% of the National APPE or more than 120% of NAPPE.

** There are four possible variations from these ranking procedures. They are called: no-wide variance; 30 percent rule; previously eligible attendance areas; and, eligibility by actual enrollment.

. Administration

A clear delineation of responsibility for the administration of Title I exists between USOE and the SEAs and in turn between the SEAs and their respective LEAs. The nature of these responsbilities is discussed in the following paragraphs.

.. Federal-State Responsibilities

In addition to its funds disbursement responsibilities USOE: (1) develops and disseminates regulations, guidelines, and other materials related to the administration of Title I; (2) provides technical assistance to the SEAs and periodically monitors their practices; (3) compiles fiscal, program scope and evaluation data; (4) evaluates the results and effectiveness of the program; and (5) reports annually to the Congress on the accomplishments of the program.

.. State-Local Responsibilities

SEAs must provide assurances to USOE that their program will be administered in accordance with the law and the regulations and are required by law to submit annual fiscal and evaluation reports to USOE. In addition to their disbursement and reporting responsibilities, SEAs: (1) review and approve or disapprove the project proposed by each LEA in its annual application to the SEAs; (2) provide technical assistance to the LEAs and (3) periodically monitor their practices.

.. Local Responsibilities

As noted earlier, LEAs are required: (1) to identify areas to be served and to design projects that apply available resources to meet identified needs; and, (2) to maintain parent involvement and serve private school students. In addition, LEAs are required to submit to their SEA annually (1) an application form describing the nature of their proposed project, how it was developed and the number of students to be served; (2) a fiscal report on the funds expended and students served; and, (3) an evaluation report indicating how participants benefited from these services.

Program Scope

Title I funds represent about 3 to 4 percent of the total national expenditures for public elementary and secondary education. Currently all 50 States, the District of Columbia, all outlying territories (e.g., American Samoa, Guam, Trust Territory of the Pacific, the Virgin Islands, Puerto Rico) and the Bureau of Indian Affairs receive Title I funds. About 90% of all public school districts in the U.S. (NIE, 1976) and 67% of all public elementary schools receive Title I funds (another 15% of all elementary schools receive State or local compensatory funds) (Hoepfner, et al., 1977). Roughly 5 to 6 million students* or about 7 to 9 percent of all elementary and secondary students are provided services with Title I funds.

Hence, with respect to elementary and secondary education, support for compensatory services is nearly ubiquitous with Title I playing the major role in making it so far reaching.

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* State Performance reports yield a number near 5 million while a recent NIE survey (NIE, 1976) and earlier NCES reports yielded estimates nearer 6 million (CPIR, 1971-72).

Program Effectiveness and Progress

Evidence now available indicates that the receipt of Title I funds is almost universal at the school district level and exceptionally widespread at the elementary school level. A remarkably high percentage of elementary schools with high concentrations of poverty students receive Title I funds although many schools with low concentrations of such students do too. The funds are used for a wide variety of instructional and support services; however, the vast bulk of the funds and students are involved in basic skills instruction in the elementary grades. With respect to reading, the evidence suggests that in elementary schools, Title I has been well-targeted on children who read poorly and Title I is probably having a positive impact. Educationally disadvantated children usually lose ground to their more advantaged peers as they progress through school. However, poor readers who received extra attention because of Title I and similar programs tend to hold their relative positions between Fall and Spring and on some tests they gain ground. But, the extent to which such gains are sustained in subsequent years for the same students is not currently known. Some limited evidence suggests there may be losses over the summer months. In general, then, the reading results illustrate modest success but with much work still to be done. Little useful information is currently available on student achievement in other areas. Many of the non-instructional services provided are desirable ends in themselves (e.g. having healthy, well-fed, well-clothed children) for which Title I should receive credit for providing assistance when these needs cannot be met from other sources. However, little is known about how children benefit from these services.

Although the main evaluative judgments about the efffectiveness of Title I should be based directly upon the services provided to participating children, the impact of the program should also be considered in a larger sense. As the major Federal program aimed at improving the education of disadvantaged children, Title I has been instrumental in drawing the attention of educators and the public to the plight of these children. Although the problems of providing an adequate education for the disadvantaged have not yielded to solution as swiftly as had been hoped, that very fact has led to further efforts. States have initiated compensatory programs, school districts have tightened up their programs, parents have become more involved in their children's education, and researchers have pursued many new approaches to learning. There is a much greater national consciousness about the education of disadvantaged children than there was 15 years ago and Title I is certainly a central feature of this awareness. These remarks are expanded upon in the sections that follow.

In the Education Amendments of 1974 Congress raised three main concerns about the adequacy of the Title I allocation procedures and requested specific studies to be conducted about these concerns. First, reliance on data from the Decennial Census for allocation purposes meant that it could be fourteen years out of date (recognizing that the income data collected is for the preceding year and allowing three years to get the Census data properly organized for these purposes) and in such a period of time the income status of a county could change drastically. As a result, county and district allocations could be quite inequitable with respect to the real distribution of poor children. Second, the allocation procedures did not allow for the fact that it costs more to live in some areas of the nation than in others (e.g., North-South, rural-urban, etc.). Finally, Congress discussed the possibility of changing the basis of allocations from poverty to low achievement and wondered what the implications of such a shift might be. Results now available on these concerns are discussed below.

.. How Effective are the Current Allocation Procedures?

Two earlier studies indicated that Title I allocation procedures provided additional funds to school districts with the greatest financial need (Burke and Kirst, 1972; Johns, et al., 1971). A more current study indicated that within districts receiving Title I funds, these funds were used to support services in 90% of their Title I eligible schools (NIE, 1976). A recently completed survey of over five thousand U.S. public elementary schools showed that: (1) 90% of the schools with over half their students from poverty families received Title I funds; (2) 79% of the schools with from one-fifth to one-half of their students from poverty families received such funds; and (3) 53% of the schools with one-fifth or fewer of their students from poverty families received some Title I funds (OPBE, 1977, Hoepfner, et al., 1977). Such results indicate that in terms of the receipt of funds (the actual amounts received were not examined) Title I funds are targeted to a remarkable extent on schools with high concentrations of poverty students. On the other hand, it is not clear why so many schools with low concentrations of poverty students receive Title I funds. A number of explanations are possible. First, for those school districts that have poverty children fairly evenly spread across all their elementary schools, each school would receive Title I funds even though the percent of that school's students from poverty families was fairly small. If there are many such districts, they would have a substantial effect on these totals. A second reason may be that out-of-date income information (i.e., census data collected almost six years ago) was used to make the county-level allocations although the district may now have fewer areas with high concentrations of poverty students to be served than in earlier years. Finally, the current concentration of funds per pupil may be of a magnitude that enables services to be provided in schools with low concentrations of poverty students as well as in the more heavily concentrated schools.

A study of the use of different data sources for the purposes of allocating funds from the county level to school districts within it (called earlier sub-county allocation) has shown that: (1) the AFDC count favored the urban areas whereas the use of income or test performance data favored the small cities and suburbs; (2) whether an income or an AFDC measure was used appeared to be more critical in affecting the allocations than was the currency of the income data used; and, (3) the currency of income problem could be solved by using State income data in the 30 States where such data are available (Thomas and Kutner, 1975).

.. How Would the Current Allocations Change

... With More Recent Data?

In the Education Amendments of 1974 (P.L. 93-380) Congress mandated a study to update the count of children, aged 5 to 17, from poverty backgrounds and to ascertain the implications of this more recent data on the amount of money allocated to each State. The results of this study (Miller, 1977) showed that between 1969 and 1975, the number of such children declined from 7.9 million to 7.1 million. However, because of an overall decline in the birth rate, their proportion relative to all children of that age group,remained at 14.5 percent. Changes in the incidence of poverty among states did occur. In the southern States the incidence of poverty declined or remained the same (except Florida) while it increased in most of the large industrial states in the Northeast and Mid-West. As a consequence of using this more recent income information to make allocations sixteen States would lose one-fifth or more of their current allocation while eight others would gain by amounts in that same range. With the advent of the mid-Decennial census in 1985, allocations can be made with income information that will be at its worst only seven to eight years out of date rather than the current fourteen-year figure.

... With Allowances for Cost of Living?

In the Education Amendments of 1974 Congress also mandated a study to find ways of improving the accuracy and currency of the present measure of poverty used in the formula that allocates Title I funds. Alternatives to the current measure of poverty were considered. Some would have raised the count of families in poverty while others would have lowered it. However, the implementation problems associated with any change in the current definition would have been so great that no changes were recommended (DHEW, April 1976). For purposes of Title I allocations other factors in the formula (State's per pupil expenditure rates, size of AFDC populations, and "hold harmless" provisions) as well as the recency of the poverty data used also figured importantly in the allocation process and could mute any distributional changes introduced by an altered definition of poverty. Another study examined changes in the count of families in poverty introduced by taking into consideration their receipt of other kinds of income (e.g., social security, unemployment insurance, AFDC, food stamps, etc.). It showed that the numbers counted were reduced by about one-half to three-fourths depending upon the nature and number of "transfer payments" considered (Congressional Budget Office, 1977).

... With a Shift to Achievement Criteria?

Among the many studies mandated by Congress in the Education Amendments of 1974, two relate specifically to the provision of funds and services based on achievement criteria. USOE was directed to conduct a study of the number of economically and/or educationally disadvantaged students who do and do not receive Title I services. The National Institute of Education (NIE) was directed to conduct a comprehensive study of Compensatory Education including an exploration of alternative methods for distributing funds on the basis of educational disadvantagement. Although the results of these studies will not become available until the Fall of 1977, information from other studies now available are also relevant to these concerns.

An earlier study of Title I allocations indicated that among the sample of districts studied, those with the greatest financial need were recipients of Title I funds and they were also the districts with the greatest educational need, as evidenced by their pupil achievement test performance (Johns, et al. 1971).

The recently completed survey of over 5000 U.S. public elementary schools cited earlier (Hoepfner, 1977; OPBE, 1977) showed that Title I funds were targeted on schools with high concentrations of low achieving students (viz., students reading one or more years below grade level) to almost the same extent that they were targeted on schools with high concentrations of students from poverty families. This result was attributed to the strong relationship that exists between concentrations of poverty students and concentrations of poor readers at the school level. Such results suggested that to allocate funds on the basis of one criterion was very similar to allocating funds on the basis of the other (OPBE, 1977). Within schools that receive compensatory funds, evidence cited in a later section shows that services are targeted on the poorest readers (see the section on Recipients of Services).

. Who are the Recipients of Title I Supported Services?

About 20% of all public school students in kindergarten through the eighth grade receive instructional services supported by Title I (NIE, 1976)*. These students represent 57% of all children who are in need of such services as judged by their district. Roughly 5% of all non-public school students also receive services from Title I.

Students who receive services rank at about the 20th percentile on national reading test norms at grades 2, 4 and 6 (OPBE, 1976). This can be contrasted with a 24th percentile ranking for students in State and locally funded compensatory projects. Non-recipient students in Title I schools rank at about the 46th percentile on these same norms while similar students in schools with State and locally funded compensatory projects rank at about the 53rd percentile. Hence, Title I provides services to the poorest readers when compared either with other students in the same schools or with students in State and locally funded projects/schools.

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* In Section 437 of the General Education Provisions Act as amended by Sec. 512 of P.L. 93-380, Congress directed USOE to collect from each State, annually, information on each federally-funded, State-run program (of which Title I is one) pertaining to how the funds were used and aggregate data on the numbers of recipients. Such information will become available on an annual basis beginning in the latter part of 1977.

In Title I schools slightly more than one-half of the students who participate in the free lunch program receive compensatory assistance in reading (OPBE, 1976). A comparable figure for schools with State and locally-funded compensatory projects is slightly more than one-third. Further, in Title I funded schools one-third of the students are both one or more years below grade level and are free lunch participants and 69% of them receive compensatory assistance in reading (grades 4 and 6 only). Comparable figures for State and locally funded projects/schools are 17% and 60%, respectively. Hence, Title I schools have heavier concentrations of high poverty, low achieving students than do State and locally funded compensatory projects/schools and serve proportionately more of them.*

About 54% to 60% of the Title I recipients are white (NIE, 1976; OPBE, 1976); another 35% are black with the remainder being predominantly Spanish-surnamed (NIE, 1976)

. What Services Do Title I Funds Provide?

Information from a recent NIE supported national survey of 100 school districts indicated that the national average Title I per pupil expenditure was $347 for the 1975-76 school year (NIE, 1976) with poor districts spending less per participant than wealthier districts. [Such results are due to the proportionately greater numbers of their students that poor districts serve].

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* More recent and more comprehensive information on "needy" students who do and do not receive services will become available in the Fall of 1977.

Seventy-six percent of the Title I per pupil dollar is used to provide instructional services with the poorer districts spending a smaller proportion on such services than the wealthier ones (NIE, 1976). One explanation for these latter results is that the wealthier districts already provide support services (e.g., medical, dental, counseling, etc.) whereas the poorer districts don't and must therefore resort to the use of Title I funds for such purposes.

Reading and language arts instruction is the area of activity most frequently supported in virtually all district Title I projects (95% of the districts). Other high incidence areas of support are mathematics instruction (45%) and preschool/kindergarten readiness activities (38%).

In the area of support services a distinction can be made between those directly supportive of instruction and those that are more indirect in nature. In the former category one-fourth to one-half of the Title I districts used some of their funds for libraries and/or resource centers. For the latter category, the most frequently cited activities are: medical/dental (20%); psychiatric diagnostic (19%); transportation (15%); food (14%); speech and hearing therapy (14%); and social work (12%). Forty-one percent of the districts do not provide any support services. But among those that do provide such services slightly more than three-fourths of them provide these services in two or more areas.

. In What Ways Do Title I Students Receive Their Services?

A typical compensatory education student spends 5 1/2 hours per week in compensatory instruction--an amount which represents one-fifth to one-fourth of his/her total school time available for instruction. The teacher will tend not to be from a minority group (77% are white), will have a Bachelors degree or better (97% have a B.A. plus work beyond) and will be a permanent employee of the school system or will be on a renewable contract (83%) (NIE, 1976).

About 50% of all compensatory students receive remedial reading instruction. This figure climbs to 82% if language arts projects with a reading component are also included. Some 44% of compensatory students receive assistance in mathematics. Since these areas involve such substantial proportions of compensatory students some discussion will be devoted to them in the following paragraphs (NIE, 1976).

.. Remedial Reading

Remedial reading is most frequently offered in the elementary grades (1 through 6) and is seldom supported by Title I after grade 8 (fewer than 10% of the districts do so). About 85% of the students receive their instruction in a pullout program (viz. they leave their regular classroom). They tend to receive this instruction from some combination of their regular classroom teachers (53% of such students), a reading specialist (75%), and a teaching aide (almost 50%). To receive such instruction most students did not miss any other subjects (43%) or missed only their study time (16%). The remainder missed reading and language arts instruction or a variety of other subjects (e.g., social studies, science, art, etc.). Remedial reading instruction comprises from 12 to almost 17 percent of a student's time available for instruction and is offered in small groups of from seven to twelve students involving what would appear to be a high degree of individualization of instruction (NIE, 1976). These results suggest that compensatory reading instruction is given with a greater intensity during that portion of the day normally allotted to reading instruction rather than being offered in addition to regular reading instruction.

.. Compensatory Mathematics Instruction

Compensatory instruction in mathematics is also focused on the elementary grades with the greatest incidence occurring in grades four through six. Slightly less than two-thirds of the students receive their instruction in "pull out" programs from some combination of their regular classroom teacher (74% of such students), a compensatory math specialist (49%), a teaching aide (62%), and another student (23%). To receive this instruction most students did not miss any other subjects (54%), or missed only their study time (10%) or regular math instruction (9%). The remainder missed a variety of other subjects (e.g. social studies, science, music, art, etc.). The typical compensatory math student receives three hours of instruction per week (which represents about ten to fifteen percent of the time available for instruction) with such instruction most likely to occur in groups of fewer than fourteen students in grades one through four and fewer than ten students in grades five through eight. Such instruction appears to be given in a highly individualized manner (NIE, 1976). These results suggest that like remedial reading, compensatory math tends to be offered with a greater intensity during the time ordinarily allotted to math instruction.

.. Summer Programs

Although the students in 51% of all elementary schools have access to a summer program, such access is slightly less likely in schools that receive Title I funds than in schools that do not receive such funds (47% for Title I versus 60% for schools not receiving these funds; Hoepfner, et al., 1977). However, among schools that have summer programs, schools that receive Title I funds have a much greater incidence of compensatory programs than do the other schools.

In contrast to the above areas, very little is currently known about the ways in which compensatory students receive non-instructional services or about the need for and provision of services to students in the higher grades.

. How Do Students Benefit from Their Services?

As noted in previous sections, Title I funds are widespread and local projects encompass a number of objectives and provide services in a variety of areas. Such diversity indicates that the program does not lend itself to a single summative question, such as "Is Title I working?" A more appropriate framework is: "How well is Title I working with regard to each of the many areas it supports?" Many areas do not readily lend themselves to an assessment of their benefits (e.g.,counseling and speech therapy) while others are desirable ends in themselves (e.g.,having healthy, well-fed and well clothed children are desirable ends for which Title I must receive some credit for providing assistance when these needs are not met by other sources). The single area of greatest emphasis has been instruction in basic skills at the elementary level with a substantial portion of this effort devoted to reading. Given the current programmatic emphasis of 76% of the Title I dollar spent on instructional services and 82% of the students participating in a reading or a language arts project that involves reading (NIE, 1976) it seems fair to regard improvement in reading skills as one of the primary indicators of program effectiveness, especially in the elementary grades. Indeed, most of the evaluative evidence in the State and local evaluation reports is comprised of reading test scores.

There are two main sources of information on the effectiveness of reading projects: (1) national studies sponsored by USOE and (2) State and local evaluation reports. Evidence from each source will be discussed in the following paragraphs.

.. Evidence on Reading Improvement from National Studies

Early national evaluations of Title I depended upon the availability of performance information at the local level. Since local information was often unavailable or was not compatible with that from other locales, aggregations for purposes of national analyses could not be made. The absence of any positive information on the aggregate effect of the program was regarded by some as evidence that it was not working. However, results from a recently completed study of children in grades 2, 4 and 6 of a national sample of elementary schools in which common achievement measures were administered at common times in the Fall and Spring, showed that the Title I program was having a positive impact on student improvement in reading (OPBE, 1976). Specifically, the results showed that:

- In schools that offered compensatory assistance in reading the most educationally needy students, as indexed by their depressed reading test scores, were the ones who received such assistance.
- Students in compensatory projects received more services than non-participants, and the amount of such services depended upon the setting for reading instruction (individuals in small instructional groups received more services than those in large ones).

- Students who received compensatory assistance in reading tended not to fall behind their less needy, unassisted peers in their reading skill performance during the school year. For some of the achievement tests, compensatory students were closer to non-compensatory students in their reading test performance in the Spring than they had been in the preceding Fall.
    - Compensatory assisted students tended to develop favorable attitudes toward themselves as readers and toward their reading activities to a degree that was equal to or greater than that of their less needy, unassisted peers.
    - These results can be contrasted with those from earlier studies which showed that disadvantaged students fell progressively further behind in their reading performance and became increasingly more fatalistic about their ability to improve their life circumstances through education.
    - However,a clear relationship between the level of resources utilized and student improvement in reading was *not* discerned. Rather, given a minimal level of resources, the *ways* in which they were utilized appeared more important than the sheer amount (e.g., the use of instructional aides for instructional activities rather than for clerical or custodial functions).
- Five compensatory projects were identified as being unusually effective in terms of the reading improvement of their students during the school year and independently by the judgment of trained observers.
    - All had defined reading as an important instructional goal, had assigned it priority among the school's activities and had manifested this commitment by expending more time on reading or on having a better quality of reading resources.
    - In all five there was a key person who provided guidance and direction in reading.
    - There was careful attention to basic skills (including reading).
    - There was evidence of interchange of ideas among staff members.
    - The average cost of the five unusually successful projects was about the same as that of the average of all the other projects. [These results can be contrasted with those from two other studies (the Emergency School Aid Act evaluation, Coulson, et al., 1975 and the California Title I analyses, Tallmadge, 1973) which showed a modest positive relationship between supplementary expenditures and student improvement in basic skills].

. Other results from this study showed that:

.. In schools that offered compensatory reading programs, the concentration of educationally needy students was so great that another one-fourth to almost one-half again as many of the students being served were needy* and would benefit from special assistance (viz.,would be likely to manifest improvement equivalent to or greater than that of students currently being served).

.. In the Fall of the year students who received compensatory assistance in grades 2, 4, and 6 were at about the same percentile rank--results which may suggest a loss of some of the proficiencies acquired during the regular school year**.

... Disadvantaged students who attended summer school did not exhibit such a loss. However, summer attendance was voluntary; the most severely disadvantaged students did not attend; and student instructional cost was two and one-half times greater during the summer than during the regular school year. [Such results can be compared with those from two other studies, one of which showed no loss over the summer months for ESAA students who did not attend a summer program (Hemenwey and Ozenne, 1977) and one which showed considerable loss over the summer months for Title I students in selected sites who did not attend a summer program (Pelavin and David, 1977)].

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* Viz.,were either one or more years below grade level and from poverty backgrounds or were designated as receiving special assistance in the higher grades but had not received any assistance prior to that time. The NIE survey found that 43% of the students who were judged in need of compensatory assistance by their districts were not receiving such services (NIE, 1976).

** Another factor involved in these results is that the most educationally needy students are served each year and they are not necessarily the same students from one year to the next.

.. Evidence on Reading Improvement from State and Local Reports

Most annual State Title I evaluation reports continue to show a number of serious shortcomings which precludes their usefulness in making statements about the achievement benefits of project participants* at the State level. For the small number of States for which impact data could be relied upon (about 17) student participants manifested growth equivalent to or greater than that of the average student (Thomas and Pelavin, 1976; Gamel, et al., 1975).

> However, as evidenced also in the national studies, the Fall test scores of students at successive grade levels suggested that these gains may not be cumulative across the years (such results are due in part to skill losses over the summer months; the attempt of the program to serve the most educationally needy students in Title I schools each year; and, the use of an incorrect reporting metric).

Searches for effective projects at the local level have shown faulty evaluation practices to be so widespread that no conclusions can be reached concerning the reading improvement of the participants of most projects.** However, the preponderance of compensatory projects that survived the rigorous screening procedures used in these search efforts were Title I funded (Bowers, et al., 1974; Tallmadge, 1974).

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* A recent GAO study was found to suffer from these same shortcomings (GAO, 1975).

** This situation will be improved, however, as the use of standard evaluation models becomes more sidespread. (See the Appendix for information about the Title I evaluation models and technical assistance efforts).

.. Ancillary Evidence on Reading Improvement

Recent evidence from the National Assessment of Educational Progress indicates that in 1975 nine year olds performed better on a set of reading tasks than did their counterparts of four years earlier (NAEP Newsletter, October, 1976). The greatest improvements during this period were made by minority students, by students whose parents did not have a high school education, and by students residing in the Southeast. However, children in these first two categories were still substantially below the national average. Noticeable gains were not made for the older age groups (13 and 17 year olds) although the seventeen year olds did show some improvement in handling basic literacy reading tasks (NAEP Newsletter, December 1976). For a comparable time period (1970-1974) the nine year age group also showed improvement in their writing skills whereas the older age groups (13 and 17 year olds) actually declined (NAEP Newsletter, December 1976). Since the bulk of Title I supported activities are concentrated in the early elementary grades and involve reading and language arts, such improvements may reflect,in part, the effects of these activities.

No evidence is currently available on student improvement in other instructional (e.g., mathematics) or support areas or on how students benefit from their compensatory assistance in basic skills instruction over a period of years. However, such information will become available in succeeding years from a recently initiated study (see Hoepfner, et al., 1977 for more detailed aspects of this study).

. Progress in Improving Program Administration*

Although good management practices may be a precondition of program accomplishment, those that are critical to success may be elusive. In the paragraphs that follow a brief overview is given of those practices that are deemed necessary for an understanding of how program improvements have been and can be induced.

.. How Does USOE Aid the States?

USOE engages in a number of activities intended to help the States improve their program management capabilities. One major activity is the State Program Review. A USOE team visits two or more local districts in a selected State to examine the ways in which they conduct the program and the kind of guidance the local has received from its State office. Any guidance materials the State may have developed for its locals are examined by the team prior to its visits. At the conclusion of its visits, the team has an exit interview with the Chief State School Officer to explain its recommendations. Later, a letter is sent to the State requesting a formal response to the recommendations.

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* Additional information on program administration will become available from the NIE studies by Fall, 1977.

Usually, a team is composed of four members who spend about a week in a State with each State being subject to such a review annually.* A variety of technical assistance activities are also utilized by USOE to upgrade State capabilities. The Program Support Package is used to explain to States in a simple and clear manner using graphic illustrations, how a particular requirement should be handled (e.g., parent involvement). Each such package is then made available to a State for use with its locals. Handbooks are also developed and made available to States and locals; national and regional meetings or workshops are held on timely subjects of interest to the States; and, on occasion special projects are sponsored that are of mutual benefit to the States and their locals (e.g. a self-analysis instrument for a State or local to use in reviewing its own management of Title I). In addition USOE provides technical assistance to States and locals in evaluating their projects** and provides a major role in dissemination of effective projects. Exemplary projects are nominated by their States and, after screening for compliance, are submitted to the Education Division's Dissemination and Review Panel for an objective appraisal of the adequacy of their evidence. If approved by the panel the projects are disseminated to other states and their locals, in turn, via publications (see "Programs That Work" in the List of References) and other publicity devices. Some are packaged in a detailed way so that they can be more readily duplicated by adopting sites (for more details of this latter effort see the section on Packaging and Dissemination).

Finally, in fulfilling its annual reporting requirements to the Congress, USOE attempts to utilize information from the State evaluation reports as well as conducting its own national evaluations. In any given year, for this latter activity OE spends about two-tenths of one percent of the total Title I funds appropriated.

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* The DHEW Auditors also serve a compliance function through their periodic audits of State and local activities.

** See the Appendix of this report for progress being made in upgrading State and local Title I evaluation capabilities under Section 151 of Title I as amended by P.L. 93-380.

.. How Do the States Aid Their Locals?

In addition to their sub-county allocation responsibilities, States review local project applications for compliance with the law and regulations and monitor how the projects are carried out. Ideally a district would be visited at least once per year by its State representative(s) for monitoring purposes. Currently States are allotted one percent of their total allocation or $150,000, whichever is greater, to perform administrative activities in their State*. For many States this amount is only adequate enough to support annual visits to their largest districts or those suspected of having problems, with the remainder being visited about every other year. In their monitoring role States also perform a dissemination function with regard to exemplary projects and practices. Finally, in carrying out its evaluation responsibilities a State used on the average about 1.2 percent of its grant (GAO, 1977).

.. How Do Local School Districts Fulfill Their Responsibilities?

Results on many aspects of the conduct of local projects were discussed in prior sections (e.g.,allocations, needs assessment, targeting, services offered, etc.). Also noted were requirements for locals to utilize Parent Advisory Councils (PAC's), to serve non-public school children residing in the attendance areas of target schools, and to evaluate their project annually.

The 1974 Education Amendments (P.L. 93-380) required some major changes in Title I parent involvement. It added the requirement for building level councils in addition to the district council and stipulated that council members are to be selected by parents. A total of 79,841 parents of children participating in Title I activities were involved in *district level* advisory committees during the 1972-73 school year. A comparable figure for *school level* advisory committees is 81,451 parents. However, the greatest level of involvement was at the Title I *project level* with 473,436 parents being involved in project related activities. (National Center for Educational Statistics, CPIR, 1973; *note* these data were obtained prior to the 1974 requirements). At the present time very little is known about the nature or conduct of these councils.

If a school district is unable or unwilling to provide services to non-public school students residing in eligible attendance areas, USOE can contract for the provision of services using funds from the district/State allocation. This "by-pass" provision has been invoked in one State.

In order to fulfill their annual evaluation and reporting responsibilities local districts spend on an average about 6.4 percent of their total project grant (GAO, 1977)--a figure which may change once the new Title I evaluation and reporting models are put into effect.

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* This includes the Neglected or Delinquent, Migrant,and Handicapped portions of the program as well.

Ongoing (O) and Proposed (P) Projects

1. A Study of the Sustaining Effects of Compensatory Education on Basic Skills (O)

This study has two major purposes: (1) to obtain information on the numbers of economically and educationally disadvantaged students who do and do not receive compensatory services; (2) to report on the benefits they derive from such services in terms of their cognitive skills during more than one academic year and to isolate those sequences of services that were most beneficial.

2. National Institute of Education Studies of Compensatory Education (O)

Examines a broad range of issues related primarily to Title I management, funds allocation, and provision of services.

3. The Nature, Intensity, Continuity and Benefits of Compensatory Services Provided in the Later School Years (P)

Very little is known about the nature and extent of compensatory services provided to students in the higher grade levels, or of the extent to which such services have some continuity with those provided in the earlier years, nor of the extent to which students benefit from these services. Further, very little is known about the numbers of educationally and/or economically disadvantaged students who do and do not receive such services. This study would examine these issues for a selected sequence of grade levels.

4. A Study of the Utilization, Effects and Costs of Parent Advisory Councils (P)

Parent Advisory Councils (PAC's) were required of each school district receiving Title I funds in 1971. The Educational Amendments of 1974 (P.L. 93-380) extended this requirement to each school receiving Title I funds. In addition to the district and school level PAC's, some districts have mandated PAC's for each school building while some States have elected to have a Statewide PAC. This study would examine how PAC's are formed and utilized, how much they cost and what impact they have on various aspects of the projects as well as on parents of students participating in the project or attending the project school.

5. A Comprehensive Study of the Need for and Provision of Compensatory Services to Non-Public School Students (P)

This study would ascertain the number of non-public school students who are economically and educationally disadvantaged, how many receive compensatory services (including those students served by the bypass provision) and for those that do, the nature of their services. It would also isolate successful strategies for providing services to such students.

6. Title I as a Change Agent in American Education (P)

One of the ancillary benefits State and local agencies have gained from Title I is the opportunity to use the results of their Title I efforts to convince State and local decision-makers of the need for similar services to all children under their charge. Although the evidence is clear that Title I has influenced widespread adoption of kindergarten programs, use of teacher aides, individualization of instruction, diagnostic screening of children, evaluation methodology, and school-community coordination, to name but a few areas, there is no documentation of the extent and effect of the adoption of formerly Title I funded activities by State and local educational agencies. This dimension of the Title I program impact has never been assessed, yet would provide a valid indicator of program success.

1977

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Title I ESEA Program for Migratory Children of Migratory Agricultural Workers and Migratory Fishermen

Legislation:	**Expiration Date:**
Title I of the Elementary and Secondary Education Act of 1965, as amended	June 30, 1978

Funding History	Year	Authorization	Appropriation
	1968	$41,692,425	$41,692,425
	1969	45,556,074	45,556,074
	1970	51,014,319	51,014,319
	1971	57,608,680	57,608,680
	1972	64,822,926	64,822,926
	1973	72,772,187	72,772,187
	1974	78,331,437	78,331,437
	1975	91,953,160	91,953,160
	1976	97,090,478	97,090,478
	1977	130,909,832	130,909,832
	1978	145,759,940	145,759,940

Program Goals and Objectives

Title I of P.L. 89-10, the Elementary and Secondary Education Act of 1965, authorized a national education program for disadvantaged children. Section 101 of that law, as amended through the 94th Congress, 1st session, states in part:

> ...the Congress hereby declares it to be the policy of the United States to provide financial assistance (as set forth in this part) to local educational agencies serving areas with concentrations of children from low-income families to expand and improve their educational programs by various means (including preschool programs) which contribute particularly to meeting the special educational needs of educationally deprived children.

In November 1966, Title I of ESEA was amended by P.L. 89-750 to incorporate special provisions for migratory children of migratory agricultural workers. The new program provided for grants to State educational agencies (SEAs) or combinations of such agencies to establish or improve, either direcly or through local educational agencies (LEAs), programs and projects designed to meet the special educational needs of migratory children of migratory agricultural workers. P.L. 89-750 also provided that grant monies were to be used for interstate coordination of migrant education programs and projects, including the transmittal of pertinent information from children's school records; and for coordination with programs administered under Title III-B of the Economic Opportunity Act of 1967 (Special Programs to Combat Poverty in Rural Areas). Section 101 of Public Law 93-380 (the Education Amendments of 1974) further amended Title I to include migratory children of migratory fishermen in addition to migratory children of migratory agricultural workers.

In discussions associated with the preparation of the Education Amendments of 1974 (P.L. 93-380) Congress emphasized "that local educational agencies should give priority attention in operating Title I programs to the basic cognitive skills in reading and mathematics and to related support activities to eliminate physical, emotional or social problems that impede the ability to acquire such skills."*

Interim final regulations (Federal Register Volume 42; No. 134; p. 36076) for the migrant program emphasize the same point with the inclusion of the following criteria for the approval of State applications (section 116d.39(b)): Services to be provided show reasonable promise of meeting the special educational needs of migratory children ... particularly with respect to improvements in the educational performance of children in the basic programs of instruction. In addition, section 116d.38(a) of the regulations states: health, welfare and other supporting services may be provided, but only to the extent necessary to enable eligible school age and preschool children to participate effectively in instructional services.

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*(See pp. 20-21 of House Report No. 93-805). Both House and Senate discussions (see Senate Report No. 93-763, pp. 30-31) recognized that such an assertion was not intended to preempt the prerogatives of local authorities to give priority to other areas (e.g., teacher training) if such emphases were required to better meet the needs of disadvantaged children.

In May 1971 the State Migrant Coordinators adopted eleven national goals formulated by the Committee for National Evaluation of Migrant Education Programs. Although these goals do not constitute a clear-cut, easily implemented list of objectives toward which migrant programs can be directed, they do provide some indication of the types of instructional and supportive services which migrant programs are expected to provide, and may serve as a basis for a more measurable set of objectives in the future.

Instructional Services

1. Provide the opportunity for each migrant child to improve communications skills necessary for varying situations.
2. Provide the migrant child with preschool and kindergarten experiences geared to his psychological and physiological development that will prepare him to function successfully.
3. Provide specially designed programs in the academic disciplines (Language Arts, Math, Social Studies, and other academic endeavors) that will increase the migrant child's capabilities to function at a level concomitant with his potential.
4. Provide specially designed activities which will increase the migrant child's social growth, positive self-concept, and group interaction skills.
5. Provide programs that will improve the academic skill, prevocational orientation, and vocational skill training for older migrant children.
6. Implement programs, utilizing every available Federal, State, and local resource through coordinated funding, in order to improve mutual understanding and appreciation of cultural differences among children.

Supportive Services

7. Develop in each program a component of intrastate and interstate communications for exchange of student records, methods, concepts, and materials to assure that sequence and continuity will be an inherent part of the migrant child's total educational program.
8. Develop communications involving the school, the community and its agencies, and the target group to insure coordination of all available resources for the benefit of migrant children.
9. Provide for the migrant child's physical and mental well being by including dental, medical, nutritional, and psychological services.

10. Provide a program of home-school coordination which establishes relationships between the project staff and the clientele served in order to improve the effectiveness of migrant programs and the process of parental reinforcement of student effort.

11. Increase staff self-awareness of their personal biases and possible prejudices, and upgrade their skills for teaching migrant children by conducting inservice and preservice workshops.

An implicit goal of the migrant education program is to identify and recruit eligible migrant students in order that they may benefit from "regular" and supplementary educational and supportive services. In the case of migrant students, recruitment requires special efforts. Migratory workers and their children have long been ignored by society, and attitudes precluding their participation in the educational process need to be overcome.

Program Operations

The Title I program for migratory children is a State-operated program which may involve financial assistance to local educational agencies as subgrantees. Administrative responsibilities are shared by the U.S. Commissioner of Education, State educational agencies and local educational agencies and other public and non-profit private organizations which operate migrant projects. Funding of local Title I migrant projects is administered by USOE through State educational agencies. The formula for computing the maximum grant a State may receive is based on the number of full-time (that is, formerly migrant students) or full-time equivalent (that is, currently migrant students), school-aged (5-17 years), migrant children residing in the State. The true number of migrant children, however, is not known. Previous to FY 1975, estimates for each State were obtained by multiplying the number of migratory workers residing in the State (information provided by the employment offices of the U.S. Employment Service) by seventy-five (75) percent. Section 101 of P.L. 93-380 (the Education Amendments of 1974) provides that the number of migrant children will henceforth be estimated from "statistics made available by the migrant student record transfer system or such other system as (the Commissioner) may determine most accurately and fully reflects the actual number of migrant students." Beginning in FY 1975 State allocations have been based on information contained in the MSRTS.

The SEA is directly responsible for the administration and operation of the State's Title I migrant program. The SEA approves or disapproves project proposals, and is responsible for the design and preparation of State evaluation reports. Annually, each SEA also submits a comprehensive plan and cost estimate for its statewide program to the Office of Education for approval. Section 116d.31 of the regulations provides that this plan is to contain information on the number and location of migrant students within the State, their special educational needs including educational performance and cultural and linguistic background, program objectives, services to be provided to meet those objectives, evaluation procedures for determining program effectiveness, locally-funded facilities and services to which migratory children will have access, and the types of information which the SEA will pass on to other SEAs to insure continuity of services. In addition, each State application form is to contain an appropriate budget. Section 116d.30 of the regulations further provides that the Commissioner shall approve a State application only if it demonstrates that payments will be used for projects designed to meet the special educational needs of migratory children including provision for the continuity of educational and supportive services, and full utilization of the Migrant Student Record Transfer System.

If the State's application is approved, it is awarded a grant, entirely separate from its regular Title I allocation, to finance the migrant program. SEAs are required to submit to the Commissioner of Education individual project summaries indicating in sufficient detail the manner and extent to which State objectives and priorities are being met.

Proposals to operate a migrant project are submitted to SEAs by local educational agencies which serve migrant students, and by other public and nonprofit private organizations providing they do not operate private schools (note that proposals are submitted on a voluntary basis). Section 116d.6 of the regulations provides that proposals shall describe the objectives to be achieved by the operating agency for each grade group, the total estimated number of children to be served by the agency, the services to be provided to achieve the stated objectives, the types and number of staff to be employed, and an appropriate budget.

The statute also includes special arrangements whereby the Commissioner may conduct migrant programs. If the Commissioner determines a State is unable or unwilling to conduct education programs for migratory children or that it would result in more efficient and economic administration or, that it would add substantially to the welfare or educational attainment of such children, he may make special arrangements with other public or nonprofit private agencies in one or more States and, may use all or part of the grants available for any such State.

In order to implement a migrant project, operating agencies must identify and recruit migrant children in their respective attendance areas. Formerly, eligible children were categorized into three groups as defined below:

1. Interstate - A child who has moved with a parent or guardian within the past year across State boundaries in order that a parent, guardian, or member of his immediate family might secure temporary or seasonal employment in agriculuture or in related food processing activities. The parent or guardian and child are expected to continue in the migrant stream.

2. Intrastate - A child who has moved with a parent or guardian within the past year across school district boundaries within a State in order that a parent, guardian, or member of his immediate family might secure temporary or seasonal employment in agriculture or in related food processing activities. The parent or guardian and child are expected to continue in the migrant stream.

3. Settled Out - A child of a family which once followed a migrant stream but which decided not to follow the crops but to "settle out" in a given community. The eligibility of children in this category to participate in projects funded under Public Law 89-750 continues, with written consent of the parents, for a period of five (5) years after the parents have settled out.

Section 116d.2 of the interim final regulations makes two changes in the above definition. It provides for two categories of migrant children as defined below, and it further refines the meaning of movement across school district boundaries by including movement across a school attendance area in those cases where the school district boundary coincides with a State boundary.

1. "Currently migratory child" means a child (1) whose parent or guardian is a migratory agricultural worker or migratory fisherman; and (2) who has within the past twelve months moved from one school district into another (or, in a State comprising a single school district has moved from one school administrative area into another) in order to enable the child, the child's guardian, or a member of the child's immediate family to obtain temporary or seasonal employment in an agricultural or fishing activity.

2. "Formerly migratory child" means a child defined by section 122(a)(3) of the Act. That section provides that: "With the concurrence of his parents, a migratory child of a migratory agricultural worker or migratory fisherman shall be deemed to continue to be such a child for a period, not in excess of five years, during which he resides in the area served by the agency carrying on a program or project under this part." The term "area" in the preceding sentence means the legally prescribed geographic area over which a local educational agency or combination of such agencies exercises administrative control or direction.

It is the intent of the Title I migrant program to serve those children with the greatest need. Section 122 of the Education Amendments of 1974 (P.L. 93-380) provides that currently migrant children should be given priority in the design and operation of migrant projects. Section 116d.35 of the regulations provides that formerly migratory children may participate in projects which include currently migratory children or may participate in projects developed solely for formerly migratory children provided that their participation will not prevent the participation of currently migratory children nor dilute the effectiveness of programs for such children. In addition, the statute includes provision for the preschool education needs of migratory children as long as such programs do not detract from the operation of projects for migratory children of school age.

Another important component of the national program is the Migrant Student Record Transfer System (MSRTS). This computerized data system receives, stores, and transmits educational and health information on children participating in Title I migrant projects in each of the 48 continental States. Schools are responsible for submitting health-related, and educational experience and status information, about the migrant children they serve, to the local terminal operator in order to maintain the accuracy, completeness, and currency of information in the student record transfer system. When children move to new locations, this information can then be retrieved by their new teachers and by school health officials. To meet the need for continuity of educational services, State Migrant Coordinators are in the process of developing lists of criterion-referenced reading and math skills. These will be added to the MSRTS files so that as students move from one school to another their records will indicate which reading and math skills they have mastered. In this way, teachers will be able to continue the efforts of their predecessors and plan an appropriate educational program for each child.

The Migrant Student Record Transfer System has also been used to meet the needs of secondary school students who are often unable to graduate from high school because their mobility prevents them from meeting minimum attendance requirements necessary to receive high school course credit. The Washington State Migrant Education Program in cooperation with the Texas Migrant Education Program developed a program known as the Washington-Texas Secondary Credit Exchange Project, a combination of night school and coordination with the student's home base schools to insure proper crediting of course work. Results of a pilot project indicated that 176 program participants accrued 386 course credits which were then transferred via the MSRTS, to their home-base districts.

Program Scope

The Migrant Education Program is an important and growing program within Title I. It seeks to improve educational opportunities for a target population facing problems which are probably more severe than for any other group. Not only are migrant students typically educationally and economically disadvantaged in comparison to the rest of American society, but, in addition, migrant students by definition miss the systematically-sequenced and sustained educational programs available to most non-migrant children.

The following list indicates the number of full-time equivalent students who have participated in the migrant program since 1973:

Year	Full-time Equivalent Students (ages 5-17)
1973	212,473
1974	207,474
1975	267,791
1976	296,428

Data from 1971-72 indicate that 33% of the ESEA, Title I migrant funds were devoted to English, language arts, and reading; 25% to other direct educational services; 17% to pupil services; and 25% to other expenditures.

More detailed information from the Migrant Student Record Transfer System indicates that in FY 1976, 395,857 students (infants through 21 years of age) in 9,000 school districts were served in the migrant program. Of these, 283,000 were in regular school term projects, and 112,857 were in summer school projects. Approximately 117,182 students were formerly migrant. A total of 13,129 migrant projects were in operation during FY 1976, of which 11,000 were conducted during the regular school term. Forty-six States plus Puerto Rico initiated State migrant programs during FY 1976.

Program Effectiveness and Progress

The growth of the migrant program from 121 projects in 1967 serving approximately 43,000 students to 13,129 projects in 1976 serving approximately 400,000 students indicates that the target population is being identified and served.

The effects of educational and supportive services provided under the migrant program on participating students are difficult to document. A large-scale descriptive study of the migrant program has been completed by the Office of Education and a more formal evaluation is in progress. A brief description of the former, and the intent of the latter, are discussed below.

Section 507 of the Education Amendments of 1972 (P.L. 92-318) directed the Commissioner of Education to conduct a study of the operation of ESEA, Title I as it affects the education of migrant children. To meet the Congressional mandate, site visits were conducted at 162 project schools in 72 school districts in ten States (California, Texas, Florida, Colorado, Michigan, New Jersey, New York, North Carolina, Ohio, and Washington) which received more than 70 percent of the migrant program funds in 1972; 131 principals, 301 teachers, 150 teacher aides, 87 members of advisory committees, 395 parents and 435 students were interviewed. In addition, ten noteworthy migrant education projects were identified and visited during the summer of 1973 for case study purposes. Analysis of the data indicated that migrant students and their parents reflect the values of the larger society in that they are supportive of the goals of the educational system, and parents share their children's aspirations for employment outside of the migrant stream in white collar and blue collar positions. Unfortunately, the mobility patterns of migrant students make the task of providing them an effective educational program extremely difficult. Study findings indicated that migrant students tend to fall behind their non-migrant peers in grade level and in level of academic achievement in the earliest years of school and, thereafter, are never able to catch up. They are also less likely to enter or complete a secondary school program. Whereas the non-migrant child has a 95 percent chance of entering the ninth grade and an 80 percent chance of entering the 12th grade, the migrant child has only a 40 percent and an 11 percent chance of entering the ninth and 12th grades, respectively.

The data from the evaluation study seemed to indicate the need for the identification and/or design of effective elementary and secondary programs which meet the specific needs of the migrant child. A combination of economic support, effective remedial work and clear sequence of activities leading toward specific instructional and career goals, especially for the child at the secondary level, is essential. For the younger migrant child, enrichment experiences at the preschool level and an emphasis on basic skills in the early elementary grades is needed if the achievement cycle of retarded educational growth and high drop-out rates is to be broken. Greater emphasis is also needed in the development and dissemination of effective programs which result in the acquisition of basis skills and reduce the isolation of the migrant child from his non-migrant peers.

The provision of educational services to migrants also depends upon the implementation of effective recruitment programs and greater interstate and intrastate coordination. The Migrant Student Record Transfer System has great potential as a storage and retrieval system for information on migrant children. It is likely that in the future teachers will be more systematic in their enrollment of students into the MSRTS, since it will be the basis for funding, but unless a periodic audit is conducted, student records are not likely to meet the criteria of accuracy and completeness for their utilization as guides in the design and implementation of educational programs.

A GAO report (Sept. 16, 1975) on the Migrant Student Record Transfer System concluded that the data in the MSRTS was superior to Department of Labor data for estimating migrant program allocations. However, GAO was not able to attest to the accuracy of the System, an issue which will be addressed in the current Office of Education evaluation described below.

Ongoing and Planned Projects

The current Office of Education study of the migrant program is designed to meet a number of objectives. With respect to the comprehensiveness of program services, a study of representative samples of migrant projects and identified migrant students will provide information on the nature of the educational and support services offered by funded school districts, an assessment of the extent to which eligible students receive services as they move from school district to school district, and a description of the characteristics of participants. In the area of program impact and effectiveness, a large-scale testing effort of some 6000 migrant students will provide information on the basic skill attainment and persistence in school attendance of second-, fourth-, and sixth-grade participants. A third objective focuses on a validation of the counts of migrant students used in the allocation of funds to the States. Lastly, a set of evaluation procedures for States and local educational agencies to use in evaluating migrant program activities is under development. Results of this evaluation of the migrant education program will be reported in future annual evaluation reports as they become available.

Sources of Evaluation Data:

Consolidated Program Information Report, the Migrant Program, National Center for Education Statistics, 75-309F.

Education Briefing Paper, Title I Migrant Education Program, U.S. Office of Education, May, 1975.

Exotech System, Inc. *Evaluation of the Impact of ESEA Title I Program for Migrant Children of Migrant Agricultural Workers*. Volume I-IV. Falls Church, Virginia, January, 1974.

Federal Register, July 13, 1977, Volume 42, No. 134, p. 36076-36075.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Title I Program for Institutionalized Neglected or Delinquent Children

Legislation:	**Expiration Date:**
Title I of the Elementary and Secondary Education Act of 1965, as amended	June, 1978

Funding History:

Year	Authorization	Appropriation
1969	13,946,100	13,946,100
1970	15,962,850	16,056,487
1971	18,194,106	18,194,106
1972	20,212,666	20,212,666
1973*	27,545,379	27,545,379
1974	25,448,869	25,448,869
1975	26,820,749	26,820,749
1976	27,459,444	27,459,444
1977	28,841,151	28,841,151
1978	29,821,338	29,821,338

Program Goals and Objectives

As part of ESEA, Title I, the program for institutionalized neglected or delinquent children responds to the larger program's goals as stated in P.L. 89-10; that is, to

> "improve educational programs by various means (including preschool programs) which contribute particularly to meeting the special educational needs of educationally deprived children." (Section 101 of P.L. 89-10)

The amendments in P.L. 89-750 passed on November 3, 1966, which added institutionalized neglected or delinquent youth (as well as children of migratory agricultural workers and Indian children in B.I.A. schools) to those eligible under P.L. 89-10, stated goals for these subprograms. With respect to the neglected or delinquent children, the law states that the funds must be used

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* Beginning in 1973, unlike the previous years, funds were authorized and appropriated to serve children in adult correctional institutions. About $6.8 million of the $7.3 million overall increase between 1972 and 1973 is attributable to the addition of that population.

> "only for programs and projects (including the acquisition of equipment and where necessary the construction of school facilities) which are designed to meet the special educational needs of such children." (Section 123 (c) of P.L. 89-10 as amended, underlining added)

Specifically, in applying for Title I funds, a State agency must demonstrate that the proposed project has "reasonable promise of substantial progress toward meeting the special educational needs of the children to be served." (Federal Register, April 12, 1977, p.19289)

Program Operations:

The Title I program for children in institutions for neglected or delinquent youth or in adult corrections facilities is administered by USOE, state education agencies, the state agency responsible for educating children in institutions, and institutional education personnel. Such institutitions whose children are eligible to receive services are defined as follows:

(1) "An institution for neglected children means a facility (other than a foster home) which is operated for the care of children who are in the custody of a public agency as the result of a finding of neglect under State law, and which has an average length of stay of at least 30 days."

(2) "An institution for delinquent children means a facility which is operated for the care of children who are in the custody of a public agency as a result of a finding under State law that they are either (a) delinquent or (b) in need of treatment or supervision after being charged with a violation of State law, and which has an average length of stay of at least 30 days."

(3) "Adult correctional institution means a facility in which persons are confined as a result of a conviction of a criminal offense, including persons under 21 years of age." (Federal Register, April 12, 1977, p.19288).

A Title I grant is made to the agency responsible for educating the children residing in such institutions. State agencies are responsible for the education of children in institutions they operate or support. Each such agency is, then, a Title I grantee. Its grant is based on the average daily attendance of children receiving free public education in the institutions administered by that agency. The size of the grant is stipulated in section 123(b) of the legislation to be that average daily attendance figure multiplied by 40% of the state's average per pupil expenditure (or to be no less than 80% of the U.S. average per pupil expenditure and no more than 120% of the U.S. average). (Further, Section 125 of the same legislation states that no State agency shall receive less than 100% of what it received the previous year--a hold harmless.)

A recently completed descriptive study of State institutions receiving Title I funds has documented the numbers of children served, the nature of those services, the management of the program at the institution and State levels, and the flow of funds among the administrative levels. The study, a preliminary phase of the impact study described briefly under "Ongoing and Planned Evaluation Studies," was performed by System Development Corporation and involved visits to 100 randomly selected institutions and interviews with students, teachers, and administrators in those sites. Interviews were also conducted with Title I administrators responsible for the N or D program in all States (as well as in Puerto Rico and the District of Columbia) including those in both the State Education Agency (SEA) and in the State Applicant Agency* (SAA; e.g., the Department of Corrections, Youth Authority, etc.).

The funding of this program can be described in two ways: in terms of its flow from USOE to SEA to SAA to institution and in terms of its uses in the institutions to provide Title I services to participating students. Funds available at the State level for education in institutions for neglected youth, delinquents, or adult offenders average about $2.8 million per State, ranging from about $17,000 to over $10 million. On the average, approximately 68% of these funds are from the State, 20% from ESEA Title I, and 12% from other federal sources. The average Title I grant is about $500,000 with a range of $24,000 to over $2.2 million. State funds average about $2 million, providing a typical per-pupil expenditure from all sources just slightly less than that found in public schools currently (System Development Corporation, 1977).

Figure 1 illustrates the flow of Title I N or D dollars to institutions. On the average, the SAA's retain about 2% for administration. Facilities for delinquent youth then receive about 64% of a State's appropriation; those for adult offenders, about 20%; and those for neglected children about 8%. These figures are very similar to those for the distribution of State funds across agencies, although typically larger portions of those funds are retained for administrative uses.

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* so called because it submits an application to the SEA in order to receive Title I funds.

Once the various monies are received by facilities, they are spent primarily on staff and materials. Nearly 3/4 of the Title I funds, on the average, support staff; this compares with 81% of the State funds being so used, and 40% of the funds from other Federal programs. In the case of Title I, nearly all those staff (over 80 percent on the average) are classroom personnel -- teachers and paid aides; about 3% are administrators, about 6% counselors, *and about 11% other types of support personnel. (This is in marked contrast* with the expenditure pattern for staff from State funds and other Federal funds: in the case of the former, only about 41%, on the average, supports classroom personnel, 12% for administrators, and 37 for other support) This seems to confirm interviewers' reports in the national study that the emphasis in Title I is on instruction (System Development Corporation, 1977).

On the average the Title I per-pupil expenditure in the institutions is $450, but the figures range from less than $100 to almost $1700. For over 65% of the institutions, $500 or less was the Title I per pupil expenditure. Inclusion of funds from all sources raises the average per-pupil costs for Title I students to about $1350 (again, however, with a large range). The comparable figure for that same year in public schools was an average per-pupil expenditure of $1550. (Most of the difference between the two figures in attributable to an extremely low per-pupil expenditure in institutions for adults.)

The USOE list of State institutions eligible to receive Title I funds in 1976-77 contained 590 such facilities: 28 for neglected children, 323 for the delinquent, and 239 for adults (but serving youth under 21). In the sample of 100 visited, there were 10, 58, and 32 by category, respectively. (Institutions for neglected children were oversampled in order to provide descriptions of the program in that setting, specifically.)

Of the institutions eligible to receive Title I funding, 184 were not participating as of fall, 1976. They were often small facilities with few inmates eligible to receive Title I services (i.e., younger than 21 years old and lacking a high school diploma). Nearly 1/4 of them, however, were fairly large institutions for adults, but having few residents eligible for Title I. This occurred primarily in the southeast.

Program Scope

Almost 23,000 children were receiving Title I services in State institutions in fall, 1976. Of these, about 2,500 were in institutions for the neglected, 15,000 in those for delinquent youth, and a little over 5,300 in those for adults. This compares to an estimate of just over 56,000 as eligible to participate in the program nationwide. A little more than 70% of the eligible residents in institutions for the neglected are being served; in institutions for delinquents, 60%; and in adult facilities, 19%. A trend in the last two years (based on data in 1974 and 1976) has been to incarcerate more young people in adult institutions, accounting for an increase of nearly 125% in residents in those settings eligible to receive Title I services.

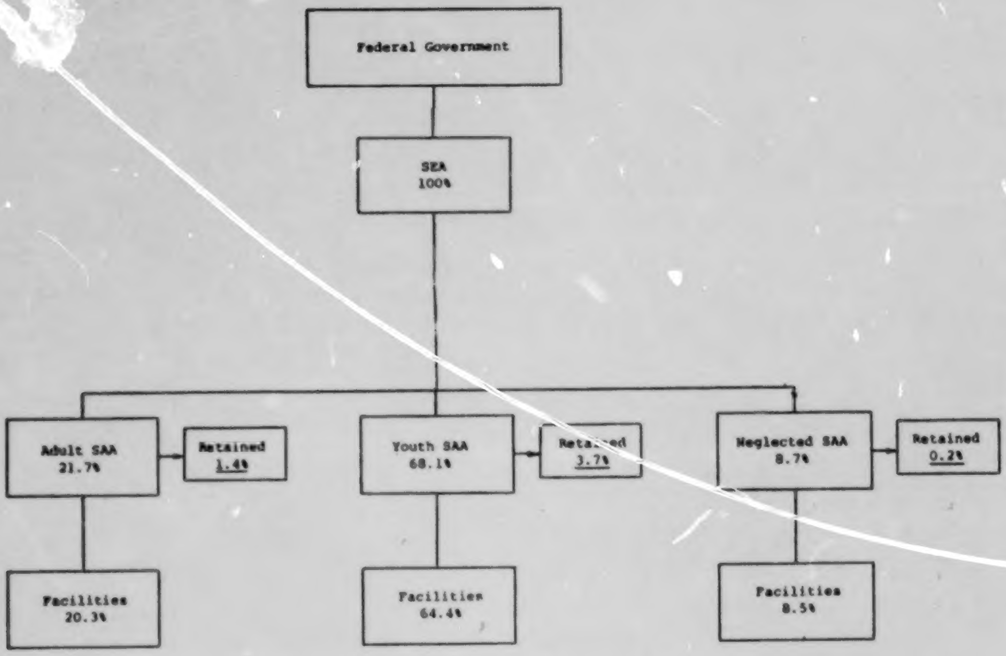
Federal Government
SEA
100%
Adult SAA
21.7%
Retained
1.4%
Youth SAA
68.1%
Retained
3.7%
Neglected SAA
8.7%
Retained
0.2%
Facilities
20.3%
Facilities
64.4%
Facilities
8.5%

Figure 1. Flow of Title I N or D Funds to State Facilities*

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* Reported figures represent average percentage across States using the Title I money at SEA as base. (System Development Corporation, 1977, p. 195)

As might be expected, over 60% of adult institutions report that their Title I projects are able to serve only half (or fewer) of their eligible residents. (This compares to a little over 40% of the youth facilities reporting the same proportion of their residents being served.) Across all types of institutions, about 55% of the projects are serving over half the eligible children; nearly 1/5 are serving all those eligible.*

The nature of Title I varies considerably from site to site according to how education, itself, is organized in the facilities. In some cases, the facility may have the appearance of a junior college campus with security concerns only slightly in evidence. In such a case, residents might be expected to live in small (10-15 person) cottages and to move freely to other buildings, such as that for classes. On the other hand, a facility with an obvious, over-riding orientation toward security concerns might consist merely of a large fenced-in building with two classrooms, perhaps a shop and library, in one wing. Occassionally classes might be held in multi-purpose rooms serving as dining halls or gymnasiums.

Just as the physical setting for education varies substantially, so too do the attention paid to it by staff and the requirements upon residents to take it seriously. In some cases, education in such a facility must, according to State law, be comparable to that of public schools. Residents must attend classes, and their progress is sometimes rewarded by access to better living areas (those with color television, for example) and to special privileges. In such a case, the residents' school day may look considerably like that in regular schools. A contrast would be institutions in which only a small percentage of the inmates are in education activities, or those (18% of the cases) in which those activities are not accredited by the State (System Development Corporation, 1977b).

Hence, education in the institutions varies considerably, and, consequently, so does Title I. Participation in a Title I project can be described in terms of the needs assessment and selection processes, the actual delivery of services, and the evaluation of those services in the institutional setting.

Diagnostic testing (either at the institution itself or in a State facility maintained especially for that purpose) is used most frequently to assess residents' needs and to select them for participation in Title I. This testing almost always assesses academic achievement, and may be supplemented by tests for special learning problems (in half the cases) or by inventories measuring IQ, attitudinal, or personality traits (in one-third of the cases).

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* Note that these proportions of "eligible" children receiving services use a definition of eligibility which considers only age and lack of a high school diploma. A child's actual participation depends also on his or her educational deprivation. Since rough estimates -- to be improved in the impact study -- suggest that very few of the institutionalized population can perform as well as or better than their age-level peers, however, the figures regarding unserved but eligible residents would be reduced only slightly.

The Title I services offered to participating children are primarily in the areas of reading and mathematics. (Over 4/5 of the projects were in one or the other, and they account for about 70% of the funds spent, on the average.) Occasionally the services also focus on cultural enrichment, social studies, other academic areas, counseling, or special education. These are viewed as supplementary services offered in addition to the institutions' regular educational programs which may be basic elementary education (in over 60% of the cases), a secondary school curriculum (again, in 60% of the facilities), preparation for a General Education Diploma (GED - in over half), remedial education other than Title I (in about one-third), special education (in about 10%), and vocational education (in about 85%). There is usually a distinction in the facilities between the courses in vocational education and those not -- labelled in general as "academic." Title I services are most often integrated with those in the "academic" curriculum, less frequently with vocational education.

A review of instructional areas emphasized in reading showed them to be most frequently vocabulary, word recognition, phonetics, literal comprehension, following directions, and listening. A similar review of the math curriculum showed emphasis on fundamental operations, practical math, measurement, and word problems. Materials used were most often student worksheets and audio-visual presentations (System Development Corporation, 1977).

Title I classrooms were observed in order to describe how the instruction is actually organized. Students spent a little over 1/3 of their time, on the average, working alone with instructional equipment (except in institutions for delinquents where the use of equipment was far less frequent). The next highest proportion of time was spent working individually with the teacher (in about 1/4 of the time on the average). Only in institutions for the neglected did Title I classes spend much time working together as whole units (about 20% of the time).

Title I instruction was usually organized into class periods of between one and two hours in length. Most often, the Title I classes met 3-5 times a week, making a typical Title I student receive about four hours of extra instruction weekly. This supplements the normal academic education program and/or, perhaps, participation in a vocational program.*

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* In order to receive Title I funds, the institution must be offering a regular education program which is defined in the regulations as "classroom instruction in basic school subjects such as reading, mathematics, and vocationally oriented subjects, and which is supported by other than Federal funds. Neither the manufacture of goods within the institution nor activities related to institutional maintenance are considered classroom instruction" (Federal Register, p. 19289).

Instructional staff in Title I projects tend to be better educated than other teachers in the institutional settings: that is, whereas almost all of them have earned at least a bachelor's degree, this is less common among the non-Title I teachers (of whom a little over 10% have no college degree). Also, nearly 2/5 of all Title I teachers have done graduate work. Their teaching experience is comparable to that of the other teachers in institutions: about 3-4 years in both correctional and non-correctional settings. They earn on the average about $12,000; the natational figure for elementary and secondary teachers is about $13,000 (NCES, 1977).

Evaluation of Title I projects is required by law and most typically focuses on student achievement and attitudes, involving in almost all cases the use of standardized tests or locally developed instruments. Projects are also evaluated according to their degree of implementation.

Many personnel cited problems in evaluating their projects due to lack of appropriate test instruments, students' differing length of participation, and lack of staff expertise. These problems will be addressed directly during Phase II of this study in the formulation of evaluation models for this setting. (See the section entitled "Ongoing and Planned Evaluation Studies" and the appendix describing the implementation of Section 151 of ESEA, Title I.)

Program Effectiveness and Progress

The addition of this program to Title I in 1966 represented the first Federal effort to improve the educational experiences of children in institutions for the neglected or delinquent. Just as the objectives for the program have evolved since that time from a desire to "rehabilitate the children into self-respecting citizens" to a more specific goal of remediating their special educational handicaps, so, too, have the services changed. As noted above, there does seem to be an emphasis on improving children's performance in the basic skills with both project personnel reports and expenditures reflecting that priority.

There are no data at the Federal level to describe the program's effectiveness in meeting its goals, but such information will be available from the impact study underway currently. (See next section.) Predictably, people working in the program do feel it to be effective, however.

Interviews with the various people involved in Title I -- the students, teachers, facility administrators, and State administrators -- found them typically to feel positive about the program. They mentioned most frequently its emphasis on individualized instruction and students' work in the basic skills as strengths (about 1/4 of the respondents). Weaknesses cited were its strict guidelines (24% of the respondents) and insufficient funding (16% of the respondents).

Ongoing and Planned Evaluation Studies

A national evaluation of the program is currently underway. The results from

from its first phase (to describe the program) are summarized above. Later work will assess the effects of the Title I services and will produce evaluation models appropriate for use by institutional and SEA personnel.

Tests to measure students' progress in the basic skills will be administered to both Title I and non-Title I students in a sample of 40 institutions between October, 1977 and April, 1978. Those pupils' perceptions of themselves as students will also be assessed. Documentation of their receipt of various educational and other institutional services will allow the description of those which are discovered to be most effective in improving the students' performance and attitudes. These experiences will also be the foundation for the development of the evaluation models.

Sources of Evaluation Data

Federal Register, "Grants to State Agencies for programs to meet the Special Educational Needs of Children in Institutions for Neglected or Delinquent Children - Interim Regulations," Volume 42, Number 70, Tuesday, April 12, 1977, pp. 19286 - 19289.

National Center for Education Statistics, "The Condition of Education, 1977 Edition," Volume 3, Part 1, 1977.

System Development Corporation, "National Evaluation of Title I Progress for Neglected or Delinquent Youth in State Institutions," Phase I Report for Contract 300-76-0093 with the U.S. Office of Education, Santa Monica, California, 1977.

System Development Corporation, "Case Studies in the Title I Program for Neglected or Delinquent Youth in State Facilities," Contract 300-76-0093 with the U.S. Office of Education, Santa Monica, California, 1977.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

School Library Resources, Textbooks, and Other Instructional Materials

Legislation:

Elementary and Secondary Education Act, Title II

Expiration Date:

FY 1979 1/

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1966	$103,000,000	$100,000,000
	1967	128,750,000	102,000,000
	1968	154,500,000	99,234,000
	1969	167,375,000	50,000,000
	1970	206,000,000	42,500,000
	1971	206,000,000	80,000,000
	1972	216,300,000	90,000.000
	1973	220,000,000	100,000,000
	1974	220,000,000	90,250,000
	1975	220,000,000	95,250,000
	1976	220,000,000	45,951,951 2/
	1977	220,000,000	-0-
	1978	220,000,000	-0-

Program Goals and Objectives:

The legislative purpose of this program was to provide for the acquisition, cataloging, processing, and delivery of school library textbooks, and other printed and published instructional materials for use by children and teachers in public and private elementary and secondary schools. Funds were made available for the administration of a State plan, and to LEA's for making loaned materials accessible to teachers and students in public and private schools.

Program Operation:

Under ESEA II, funds were allotted to States on a formula based on

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1/ The Education Amendments of 1974 (P.L. 93-380) Title IV, Part B authorized a consolidation of three categorical programs with advanced funding. ESEA Title IV became effective July 1, 1975. During the first year 50 percent of the program funds were administered categorically. The other half combined NDEA Title III-A, ESEA II, and the Guidance, Counseling, and Testing portion of ESEA III as Part B, "Libraries and Learning Resources," and may be allocated according to an approved distribution formula. After 1976, ESEA II is suspended while ESEA IV-B is in effect.

2/ Advance funding approved July 1; therefore, no Transitional Quarter funds were appropriated.

Program Effectiveness and Progress:

The latest data available (FY 74) indicate the following about libraries in public elementary and secondary schools:

1. 74,625 public schools have libraries. This represents over 83 percent of all schools nationally.
2. There are 52,310 elementary school libraries. This represents almost 81 percent of all schools.
3. There are 22,315 secondary school libraries. 93 percent of all secondary schools have libraries.

The ESEA II program has made a substantial contribution to the development of school libraries.

It should be noted that ESEA Title II has:

(a) supported special non traditional curriculum areas such as ecological and environmental education; drug abuse education; and career education.

(b) broadened and increased school curriculum offerings.

(c) changed teaching techniques by making more supplementary (including audiovisual) materials available.

(d) strengthened reading programs and attitudes toward learning.

(e) transformed school libraries into multi media centers.

(f) ESEA II provided for the participation of private school children and teachers.

Ongoing and Planned Evaluation Studies:

An evaluation study of ESEA Title IV-B&C is planned for FY 1977.

Sources of Evaluation Data:

1. First Annual Report, Fiscal Year 1966, ESEA Title II (OE-20108)
2. Second Annual Report, Fiscal Year 1967, ESEA Title II (OE-10108-67)
3. Third Annual Report, Fiscal Year 1968, ESEA Title II (OE-20108-68)
4. The Federal-State Partnership for Education, pp. 67-97 (OE-23050-70)
5. State Departments of Education and Federal Programs, pp. 98-125 (OE-72-68)

Table I (Continued)

Fiscal Year	Private School Students (millions)	% of Universe
1969	5.1	93
1970	4.9	91.6
1971	4.5	87.7
1972	4.4	88.4
1973	4.7	96
1974	4.6	96
1975	4.5	96
1976	4.5	96

Table II. Funds expended for trade books, periodicals and other printed materials, textbooks, and audiovisual materials under ESEA Title II programs: Fiscal Years 1966-1976

Fiscal Year	Trade Books Amount (in millions)	Trade Books %	Expenditures Periodicals and Other Printed Materials Amount (in millions)	Periodicals and Other Printed Materials %	Textbooks Amount (in millions)	Textbooks %	Audiovisual Materials Amount (in millions)	Audiovisual Materials %	Total in millions
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)
1966	$64.0	74.7	$2.2	2.6	$3.0	3.5	$16.5	19.3	$85.7
1967	62.6	69.9	2.4	2.7	3.1	3.5	21.4	23.9	89.5
1968	59.2	67.3	2.0	2.3	2.2	2.5	24.5	27.9	87.9
1969	29.2	65.3	1.6	3.6	1.6	3.6	12.3	27.5	44.7
1970	22.3	65.6	1.6	4.7	0.2	0.6	9.9	29.1	34.0
1971	38.3	59.2	1.7	2.6	1.1	1.7	23.6	36.5	64.7
1972	41.3	55.0	2.4	3.2	0.7	0.9	30.7	40.9	75.1
1973 1/	45.1	52.0	1.7	2.0	0.9	1.0	39.0	45.0	86.7
1974 2/	38.7	46.0	2.5	3.0	0.9	1.9	42.1	50.0	84.2
1975 2/	41.6	48.3	2.0	2.3	0.9	1.0	41.6	48.3	86.6
1976 2/	20.0	46.8	2.2	5.1	0.5	1.2	20.0	46.8	42.7
TOTAL	$462.4	59.9	22.3	2.0	15.2	2.0	281.6	35.4	781.4

1/ Revised estimates

2/ Latest estimated data available

Program Effectiveness and Progress:

The latest data available (FY 74) indicate the following about libraries in public elementary and secondary schools:

1. 52,345 public schools have libraries. This represents over 83 percent of all schools nationally.
2. There are 34,152 elementary school libraries. This represents almost 79 percent of all schools.
3. There are 17,076 secondary school libraries. 93.4 percent of all secondary schools have libraries.

The ESEA II program has made a substantial contribution to the development of school libraries.

It should be noted that ESEA Title II has:

(a) supported special non traditional curriculum areas such as ecological and environmental education; drug abuse education; and career education.

(b) broadened and increased school curriculum offerings.

(c) changed teaching techniques by making more supplementary (including audiovisual) materials available.

(d) strengthened reading programs and attitudes toward learning.

(e) transformed school libraries into multi media centers.

(f) ESEA II provided for the participation of private children and teachers.

Ongoing and Planned Evaluation Studies:

An evaluation study of ESEA Title IV-B&C is planned for FY 1977.

Sources of Evaluation Data:

1. First Annual Report, Fiscal Year 1966, ESEA Title II (OE-20108)
2. Second Annual Report, Fiscal Year 1967, ESEA Title II (OE-10108-67)
3. Third Annual Report, Fiscal Year 1968, ESEA Title II (OE-20108-68)
4. The Federal-State Partnership for Education, pp. 67-97 (OE-23050-70)
5. State Departments of Education and Federal Programs, pp. 98-125 (OE-72-68)

6. Annual Report, Fiscal Year 1972, ESEA Title II (OE-73-21103)
7. Descriptive Case Studies of Nine Elementary School Media Centers in Three Inner Cities (OE-30021)
8. Emphasis on Excellence in School Media Programs (OE-20123)
9. How ESEA Title II Meets the Needs of Poor Children; A Special Report USOE, February, 1969
10. An Evaluative Survey Report on ESEA Title II Fiscal Years 1966-68. Part I - Analysis and Interpretation; Part II Tables - HEW, 1972.
11. Notable Reading Projects, 11 issues, March 1971 - Jan., March, 1973 HEW Publication No. (OE) 73-21101
12. Eighth Annual Report, Fiscal Year 1973, ESEA Title II, HEW.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Libraries and Learning Resources

Legislation:	**Expiration Date:**
Elementary and Secondary Education Act, Title IV-B	FY 1979

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1975 1/	$395,500,000	$ 68,665,000 2/
	1976	Indefinite	147,330,000
	1977	Indefinite	154,330,000
	1978	Indefinite	167,500,000

Program Goals and Objectives:

ESEA Title IV, Part B, is a formula grant program in which three categorical programs were consolidated to provide State education agencies with more flexibility in the use of appropriated funds. The three programs consolidated in the Libraries and Learning Resources program were School Library Resources, ESEA, Title II; School Equipment and Minor Remodeling, NDEA, Title III; and the Guidance, Counseling and Testing portion of ESEA, Title III.

The purposes of this program as specified by the legislation are acquisition of school library resources, textbooks, and other instructional materials; instructional equipment for use in the academic subjects, and minor remodeling; testing, counseling, and guidance programs for students in elementary and secondary schools, and programs, projects, and leadership activities to strengthen counseling and guidance services.

Program Operations:

Program funds are allocated to each State from the amount appropriated to carry out Part B in an amount which bears the same ratio to the total as the number of children aged 5 to 17, inclusive, in the State to the number of such children in all the States. The State is required to distribute these funds among local education agencies (LEA's) according to the enrollments in public and nonpublic

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1/ Advance funding approved July; therefore, no Transitional Quarter funds were appropriated.

2/ Advance funding for the next fiscal year for all years from FY 1975 forward.

schools within the school districts of such agencies, except that substantial funds will be provided to (1) LEA's who have a substantially greater tax effort for education than the State average, but whose per pupil expenditure is no greater than the State average, and (2) LEA's which have the greatest proportions of children whose education imposes a higher average cost, e.g., low-income children, rural children, and children from families in which English is not the dominant language. Local educational agencies are given complete discretion (subject to provisions for equitable participation by private school children) in determining which Part B program purposes they will elect to fund.

Program Scope:

The 50 States, District of Columbia, Puerto Rico, American Samoa, Guam, Trust Territory of the Pacific Islands, Virgin Islands, and the Department of the Interior (for children and teachers in elementary and secondary schools operated for Indian children by the Bureau of Indian Affairs) had ESEA Title IV program plans approved by the Commissioner of Education for fiscal year 77; 12,551 local educational agencies had approved Part B projects in fiscal year 1976.

Program Effectiveness and Progress:

The following table contains preliminary data showing expenditure of Part B funds in fiscal year 1976 from 44 States. Expenditures to benefit private school children were not available from 3 States.

	Public	Private	Total	Percent
School Library Resources and Other Instructional Materials	$19,800,900	$1,941,524	$21,742,424	50.5
Textbooks	857,593	224,228	1,081,821	2.5
Equipment	13,726,929	618,271	14,345,200	33.3
Minor Remodeling	260,421	-	260,421	0.6
Testing	1,052,499	124,115	1,176,614	2.7
Counseling and Guidance	4,283,266	168,678	4,451,944	10.4
	$39,981,608 (92.9%)	$3,076,816 (7.1%)	$43,059,424	100.0

States and local educational agencies have made a smooth transition from categorical to consolidated programs. Substantial amounts of Part B funds have been directed to benefit children whose education imposes a higher than average cost per child and children in local educational agencies with higher than average effort but low per pupil expenditures for education.

Private school children were able to participate equitably in the program because of the special efforts made by State and local education agencies and State Title IV Advisory Councils to this end.

Ongoing and Planned Evaluation Studies:

A study to be initiated in FY 1977 will examine the implementation and management of the program. State Advisory Councils are required to evaluate the scope and quality of all Part B programs and projects.

Sources of Evaluation Data:

Preliminary program data summarized from annual reports for fiscal year 1976 submitted by State education agencies.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

School Equipment and Minor Remodeling

Legislation:

National Defense Education Act,
Title III

Expiration Date:

FY 1979 1/

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1965	$100,000,000	$ 73,400,000
	1966	110,000,000	82,700,000
	1967	110,000,000	82,700,000
	1968	120,000,000	78,740,000
	1969	120,000,000	78,740,000
	1970	130,500,000	37,179,000
	1971	140,500,000	50,000,000
	1972	140,500,000	50,000,000
	1973	140,500,000	50,000,000
	1974	140,500,000	28,500,000
	1975	130,500,000 2/	21,750,000
	1976 3/	140,500,000	13,628,794
	1977	140,500,000	-0-
	1978	140,500,000	-0-

Program Goals and Objectives:

The legislative purpose of the program was to support the improvement of instruction through the purchase of equipment and materials, minor remodeling, and through administrative services provided by State departments of education. The eligible academic subject areas covered were: the arts, civics, economics, English, geography, history, the humanities, industrial arts, mathematics, modern foreign languages, reading, and science.

1/ The Education Amendments of 1974 (P.L. 93-380, Title IV, Part B) authorized a consolidation of three categorical programs with advanced funding. Title IV became effective July 1, 1975. During the first year 50 percent of the program funds were administered categorically. The other half were combined with NDEA III, ESEA II, and the Guidance, Counseling, and Testing portion of ESEA III as Part B, "Libraries and Learning Resources" and were allocated according to an approved distribution formula. After 1976, NDEA III is suspended when ESEA IV-B is in effect.

2/ Ten million dollars of prior authorizations were designated for the direct loan program to private schools, which terminated June 1975.

3/ Advanced funding approved July 1; therefore, no Transitional Quarter funds were appropriated.

Program Operations:

NDEA III provided each State a separate allotment for acquisitions and administration, both of which were matched on a 1-to-1 basis. Local Educational Agencies (LEA) submitted to State Education Agencies (SEA) proposed projects which were judged according to the criteria set forth in the approved State plan. For projects which were "funded," LEA's were reimbursed partially from NDEA funds. NDEA average reimbursement for the State as a whole was 50 percent but States were encouraged to reimburse individual local projects on a variable basis.

Program Scope:

In FY 1976, program data indicated the following:

1.	Federal expenditures for program acquisitions for NDEA III (FY 76)	$12,663,924
2.	Number of LEA's participating (62% of the districts)	9,800
3.	Number of public school children in participating LEA's -- (84.3% of the students)	39,300,000
4.	Percent of expenditures going for equipment & materials (equipment)	80-85%
	(materials)	15-20%
5.	Expenditures for subject areas:	
	(a) English & reading	26.7%
	(b) science	18.2%
	(c) social studies (geography, history, civics, economics)	14.7%
	(d) industrial arts	9.1%
	(e) arts & humanities	12.2%
	(f) mathematics	9.0%
	(g) modern foreign languages	1.7%
	(h) audiovisual libraries	8.4%
		100.0%

6. Eight loans to private schools were made for a total of $145,850 in FY 75. The NDEA Title III loan program to private schools was terminated in June 1975.

Program Effectiveness and Progress:

Program operational data indicated that since 1959 over $1 billion had been expended by the States to strengthen school instruction through the purchase of equipment, materials, and through minor remodeling of facilities. It is believed that the equipment acquisitions may increase under the ESEA Title IV consolidation.

State departments of education conducted statewide and individual project assessment whenever these were considered appropriate. Many States required that procedures for evaluation of projects be included in project applications.

Ongoing and Planned Evaluation Studies:

An evaluation study of ESEA Title IV B&C is planned for FY 1977.

Sources of Evaluation Data:

1. USOE, NDEA Title III, Fiscal Year 1959-67, A Management View, May 1969.

2. "Strengthening instruction in Science, Mathematics, Foreign Languages, and the Humanities and Arts." A chapter appearing in the Federal-State Partnership for Education, U.S. Government Printing Office, Washington, May 1970.

3. USOE, Strengthening Instruction in Academic Subjects, Title III, Part A, National Defense Education Act as amended, Annual Report, Fiscal 1973, U.S. Government Printing Office, Washington, 1973.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Educational Innovation and Support

Legislation	**Expiration Date:**
Title IV, Part C of the Elementary and Secondary Education Act	1978

Funding History:	Year	Authorization	Appropriation 1/
	1976	$350,000,000	$86,444,000 2/
	1977	indefinite	184,522,000
	1978	indefinite	194,000,000

Program Goals and Objectives:

ESEA Title IV, Part C is a formula grant program under which four categorical programs were consolidated to simplify the administration of the programs and to provide State education agencies with more flexibility in the use of appropriated funds while maintaining the purposes formerly supported by the categorical programs. The four programs consolidated in the ESEA Title IV, Part C are Title III, ESEA, Supplementary Educational Centers and Services (except Guidance, Counseling, and Testing); Title V, ESEA, Strengthening State and Local Educational Agencies; Title VIII, Section 807, ESEA, Dropout Prevention projects; and Title VIII, Section 808, ESEA, Nutrition and Health.

The purposes of these four programs continued under authority of ESEA Title IV, Part C are to support:

(1) supplementary educational centers and services to stimulate and assist in the provision of vitally needed educational services not available in sufficient quantity or quality, and to stimulate and assist in the development and establishment of exemplary elementary and secondary school programs to serve as models for regular school programs.

(2) strengthening the leadership resources of State and local educational agencies, and for assisting those agencies in the establishment and improvement of programs to identify and meet educational needs of States and of local school districts.

1/ Advance funding from prior year's appropriation.

2/ Fifty percent of the total appropriation. The other fifty percent was administered through the separate categorical programs in FY 1976.

(3) Demonstration projects involving the use of innovative methods, systems, materials, or programs which show promise of reducing the number of children who do not complete their secondary school education, such projects to be carried out in schools which (a) are located in urban or rural areas, (b) have a high percentage of such children who do not complete their secondary school education.

(4) Demonstration projects by local educational agencies or private educational organizations designed to improve nutrition and health services in public and private elementary and secondary schools serving areas with high concentrations of children from low-income families; such projects may include payment of the cost of (a) coordinating nutrition and health service resources in the areas to be served by a project, (b) providing supplemental health, mental health, nutritional, and food services to children from low-income families when the resources for such services available to the applicant from other sources are inadequate to meet the needs of such children, (c) nutrition and health programs designed to train professional and other school personnel to provide nutrition and health services in a manner which meets the needs of children from low-income families for such services, and (d) the evaluation of projects assisted with respect to their effectiveness in improving school nutrition and health services for such children.

The reason for the consolidation, according to the House Committee report in H.R. 69, was to bring about some simplification in the administration of Federal education programs in response to pleas from local and State school administrators that the various categorical programs imposed too much of an administrative burden on them. It should be noted that the Committee did not express dissatisfaction with the accomplishment of the categorical programs, but felt that their objectives could continue to be achieved under a simpler administrative structure.

Program Operations:

From the total amount available for Title IV, Part C for allotment in any fiscal year, the U.S. Commissioner of Education allots to each State an amount propriationate to the number of children aged 5-17 in the State, as compared with the total number of children in all of the States. The term "State" as used here refers to the several States in the Union, the District of Columbia and the Commonwealth of Puerto Rico.

Not more than one percent of the amount available under Title IV, Part C may be reserved for Guam, American Samoa, the Virgin Islands, and the Trust Territory of the Pacific Islands, for schools operated for Indian children by the Department of the Interior, and for children in the overseas dependents schools operated by the Department of Defense.

Direct grants are awarded to the 50 States, the District of Columbia, American Samoa, Guam, Puerto Rico, the Virgin Islands, the Trust Territory of the Pacific Islands, and the Department of the Interior for children and teachers in elementary and secondary schools operated for Indian Affairs. Under P.L. 93-380, children in the overseas dependents schools operated by the Department of Defense are eligible but the Department of Defense did not participate during program years 1976 and 1977.

State educational agencies, the Department of the Interior and other jurisdictions are required to submit an annual program plan which, when approved by the U.S. Commissioner of Education, serves as the agreement between the States or other jurisdictions or Departments, and the U.S.O.E.

For the first operational year, FY 1976, affecting school year 1975-76, each of the programs included in the consolidation was funded at half its FY 1974 level and the balance of the funding, $86,444,000, was available to the States to use at their discretion among the activities authorized, within restrictions setting a ceiling on funds for strengthening State and local education agencies, which equals the larger of either (1) an amount not to exceed 15 percent of the total Part C allotment or (2) the amount available to that State for strengthening purposes in fiscal year 1973. After this strengthening portion is subtracted from the Part C allotment five percent of the remaining Part B and Part C allotments or $225,000, whichever is greater, is provided for State administrative costs for all of Title IV, Parts B and C.

FY 1977 was the first year of full consolidation, affecting school year 1976-77; at that time funding for the categorical programs included in the consolidation was discontinued. All the program fund, are now available to the States to be used for the purposes explained above. All of the funds (except those for administration and strengthening the SEA) are available to LEAs through the State agencies on a competitive basis in accordance with priorities established by the States. Fifteen percent of the funds must be used for programs or projects for the education of children with specific learning disabilities and handicapped children. States are to distribute funds to local districts on an equitable basis, recognizing the competitive nature of the grantmaking, but shall provide assistance in formulating proposals and in operating programs to local districts less able to compete due to small size or lack of local financial resources. Equitable participation of children enrolled in private, nonprofit schools is also required.

Each State has an Advisory Council which advises the State Education Agency on the preparation of the State Plan and program administration, including the review of applications from LEAs for grants. The Advisory Councils report annually, through the SEA, to the Office of Education on their activities, recommendations, and evaluations of programs and projects assisted with Title IV funds.

A review of the State Annual Program Plan for the 1977 program year and preliminary information from the 1976 program reports provides some information on Title IV-C implementation. The 1977 estimates, compared with

1974 expenditures, indicates a similar distribution of funds except for an increase in funding of SEA activities (and a corresponding decrease in local project funding). This resulted because the set-aside provisions in Title IV-C for the SEA activities, which allow the greater of 15 percent of the Part C allocation or the amount allocated to the State in FY 1973 for strengthening SEA activities under ESEA Title V appropriation was $14 million greater than the 1974 appropriation. Also the inclusion of guidance, counseling, and testing in Part B resulted in a transfer of $18,830,000 from Part C to Part B.

Program Area	1974 Amount (000)	1974 Percent of Total	1977 est. Amount (000)	1977 est. Percent of Total
State Program Administration	$12,255	7	$17,716	10
Strengthening SEAs	34,675	20	45,120	25
Strengthening LEAs	4,750	3	5,730	3
Local projects				
Handicapped	17,262	10	19,600	11
Drop Out	4,000	2	3,300	1
Nutrition and Health	1,900	1	2,200	2
Dissemination-Diffusion	*		3,300	1
Other	97,821	57	83,208	47
Total	$172,663	100	$182,174	100

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* Included in "other local projects"

Program Scope:

Title IV-C funds are allocated to States on the basis of school-age population after a one percent set-aside for outlying areas and the Bureau of Indian Affairs. Up to 15 percent of the funds or the amount allocated to the State for these activities in FY 1973, may be used for strengthening State and local education agencies. Up to 5 percent of the combined Parts B and C allocations, less the amount used for "strengthening" activities, or $225,000, whichever is greater, may be used for State program administration of Parts B and C. Remaining funds in Part C support State discretionary grants to local school districts for projects in priority areas determined by the States within the purposes of the law.

A review of State plans and reports indicates that for the LEA project grants, priority areas funded at the highest levels were basic skills ($17.0 million), the development of new educational approaches, such as individualized instruction, alternative schools and programs, multi-age grouping ($10.2 million), and staff development and inservice training ($7.9 million). Other areas included were projects in the arts, science, social studies, physical education, special education, career education, environmental education, early childhood and parent education, community education; projects in dropout prevention, guidance and counseling, and for the gifted and talented; multi-lingual and human relations projects.

Program Effectiveness and Progress:

Program year 1977 (July 1, 1976 to June 30, 1977) is the first year of full implementation of consolidated grants under Title IV. Preliminary information from the State Annual Program Plans and from program monitoring reports indicate that the introduction of the consolidation was accomplished without major difficulty. However, problems were evident in several areas. For example, the single application requirement for local education agencies for both Parts B and C participation created some confusion because of different funding cycles for the programs. The new allocation formula in Title IV required considerable change in program operation levels in some States. The role of the State Advisory Councils in evaluation of programs has been difficult to define and operationalize. In addition, separate accounting requirements for the categorical and consolidated funds were still in effect. The State Plans indicated no major shifts in the funding of the different program categories except for some increase in funds for State agency activities resulting from the new allocation formula and level of funding allowed for these activities.

A recent study of Federal Programs Supporting Educational Change, including ESEA III projects, found that the primary effect of Federal policies was on the initiation of projects, but those policies "exercised limited leverage on the course of innovations because they did not critically influence those factors most responsible for effective implementation, teacher change, and classroom continuation." These factors are local design choices, local implementation strategies, Addendum to the Packaging and Dissemination section for more information about this study.

Ongoing and Planned Evaluation Studies:

A process and management study of the Title IV consolidated programs will be initiated in 1977. It will review policies, practices, and problems at the Federal, State, and local levels in managing the consolidated programs, use of funds within the authorized purposes, implementation of equity provisions of the law with respect to distribution of funds, provision of services to nonpublic school children and other management problems and policy issues.

Sources of Evaluation Data:

State Program Plans, Fiscal Year 1976 and 1977

State Annual Reports, Fiscal Year 1976

Federal Programs Supporting Educational Change, Vol. VII and Factors Affecting Implementation and Continuation. The Rand Corporation, April, 1977

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Bilingual Education

Legislation:

Bilingual Education Act
ESEA Title VII (as amended
by PL 93-380)

Expiration Date:

September 30, 1978

Funding History :

Year	Authorization	Appropriation
FY 68	$15,000,000	$ -0-
69	30,000,000	7,500,000
70	40,000,000	21,250,000
71	80,000,000	25,000,000
72	100,000,000	35,000,000
73	135,000,000	45,000,000[1]
74	135,000,000[2]	58,350,000[3]
75	135,000,000[2]	85,000,000[4]
76	140,000,000[2]	98,970,000[4]
77	150,000,000[2]	115,000,000
78	160,000,000[2]	135,000,000

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[1] Of this amount, $9,870,000 was released and made available for obligation in FY 74.

[2] Plus sums authorized for the provisions of Sections 721(b)(3) and 742 of P.L. 93-380.

[3] Amount shown is after Congressionally authorized reductions.

[4] Includes funds earmarked by the Congress to carry out the provisions of Part J of the Vocational Education Act. An amount of $2,800,000 was appropriated for this purpose each year.

Program Goal and Objectives:

The general goal of the Bilingual Education Program is to provide equal educational opportunity for children of limited English-speaking ability. To achieve this goal, the Program provides assistance (a) For establishing elementary and secondary school programs of bilingual education, (b) For establishing training programs to increase the number and quality of bilingual education personnel, (c) For developing and disseminating bilingual instructional materials, and (d) For coordinating programs of bilingual education.

The term "limited English-speaking ability" when applied to a student means one who has difficulty speaking and understanding instruction in the English language by reason of his/her being: (a) not born in the United States or in a country whose native language is a language other than English; or (b) a student whose dominant language is other than English. The term "program of bilingual education" means an instructional program designed for students of limited English-speaking ability in elementary or secondary schools where instruction is given in English and, to the extent necessary, the native or dominant language for the student to progress effectively through the educational system. Such instruction shall incorporate an appreciation for the cultural heritage of the student of limited English-speaking ability and shall be in all subjects of study necessary for the student to progress effectively through the educational system. A program of bilingual education may provide for the voluntary enrollment to a limited degree of students whose native language is English so that they may acquire an understanding of the cultural heritage of the students of limited English-speaking ability for whom the program is designed. However, in assigning students to a bilingual education program, priority must be given to students whose native language is not English and, in no event, may the program be designed to teach a foreign language to English-speaking children.

Although the goal and objectives of the Bilingual Education Program are as given above, two facets of the program are not clearly defined: (a) whether the program is a service program, a demonstration program or both and (b) whether the program is a "transitional" program or "maintenance" program. A resolution of both issues is basic to clearly defining the Federal role in bilingual education and to assessing program effectiveness.

The problem begins with the "purpose" section of the law. The law reads:"... The Congress declares it to be the policy of the United States --- to encourage the establishment and operation -- of bilingual educational programs, --- and --- for that purpose, to provide financial assistance to local educational agencies --- in order to enable such local educational agencies to develop and carry out such programs ---; and to demonstrate effective ways of providing, for children of limited English-speaking ability, instruction designed to enable them, while using their native language, to achieve competence in the English language." Thus, both service ("to provide financial assistance --- to develop and carry out such programs") and demonstration ("to demonstrate") goals are set forth. However, the fact that appropriations have been much less than required to serve the population and the fact that Title VII is a Federal discretionary grant program rather than a State-administered program suggests interpretation as only a demonstration program.

The question of transition versus maintenance was debated at considerable length during Congressional hearings on the legislation in 1974. The result was that while the new law retained the emphasis on transition it was not so specific as to rule out a maintenance approach. Thus, the law speaks of enabling children to achieve competence in English (and does not say the same about other languages) and defines a bilingual program as one in which the native language is used to the extent necessary to allow a child to progress effectively through the educational system. However, the term transition is never used and the notion of a child leaving a bilingual program after acquiring English competence is not explicitly in the law.

Program Operations :

In general, the Bilingual Education Program awards forward-funded discretionary grants on a competitive basis to Local Educational Agencies, State Educational Agencies, institutions of higher education, and Resource and Materials Development Centers. Although the majority of grants are for multiple years, grant awards are made for a one-year duration--with continuation awards for subsequent years subject to satisfactory performance and availability of funds in future fiscal years.

The Office of Bilingual Education administers the ESEA Title VII Bilingual Education Program and funds five categories of sub-programs: Basic Programs of Bilingual Education, Support Services, Teacher Training Programs, Fellowship Programs, and Technical Assistance Programs operated by State Educational Agencies.

Basic Programs: A Basic Program grant is awarded to Local Educational Agencies (or institutions of higher education applying jointly with Local Educational Agencies) for the establishment of a bilingual education program in elementary or secondary schools, training programs for bilingual education personnel, preschool bilingual education programs, and community adult bilingual education programs.

Support Services: Support Services grants are made to three types of centers -- Training Resource Centers, Materials Development Centers, and Dissemination and Assessment Centers.

1. Training Resource Centers: Those eligible for funding are Local Educational Agencies, State Educational Agencies, and institutions of higher education applying either jointly or after consultation with Local Educational Agencies. Activities authorized under this grant include the training of teachers, administrators, paraprofessionals, teacher aides, parents, and other persons associated with a bilingual education program in (a) the use of bilingual educational practices and materials -- including the field-testing of materials, (b) procedures for involving parents and community organizations in bilingual education programs, and (c) procedures for evaluating the impact of bilingual education programs.

2. Materials Development Centers: Those eligible for funding are Local Educational Agencies or institutions of higher education applying jointly with Local Educational Agencies. Authorized activities are (a) the development of instructional and testing materials for use with bilingual education programs, and (b) the development of instructional materials for use by institutions of higher education in preparing teachers and auxiliary personnel for bilingual education programs.

3. Dissemination and Assessment Centers: Those eligible for funding are Local Educational Agencies or institutions of higher education applying jointly with Local Education Agencies. Authorized activities include (a) the publication and distribution of instructional and testing materials for use in bilingual education programs of Local Educational Agencies or institutions of higher education, and (b) assessment of the need, effectiveness, and applicability of materials and test instruments for bilingual education programs.

Training Programs: Eligible applicants for a Training Program grant are Local Educational Agencies, State Educational Agencies, and institutions of higher education applying either jointly or after consultation with Local Educational Agencies. Funding to State Educational Agencies is limited to 15 per cent of all training funds given to Centers, Local Educational Agencies, and institutions of higher education. Authorized activities include (a) training programs for teachers, administrators, paraprofessionals, teacher aides, and parents associated with programs of bilingual education, (b) programs to train personnel who will subsequently train those involved with programs of bilingual education, and (c) programs which encourage reform, innovation, and improvement in educational curricula, graduate education, structure of the academic profession, and the recruitment and retention of higher education and graduate school faculties.

Fellowships for Preparation of Teacher-Trainers: Fellowships authorized under this program are restricted to full-time students enrolled in a program which trains them to be the trainers of teachers within bilingual education programs. Graduates of this post-baccalaureate fellowship program should be able to train teachers capable subsequently of (a) teaching elementary and secondary school courses in both English and another language, and (b) selecting and using appropriate test instruments for measuring the educational achievement of students of limited English-speaking ability.

Technical Assistance Programs by State Educational Agencies: A State educational agency (in a State where programs of bilingual education operated during the fiscal year preceding the fiscal year for which assistance is sought) may submit a grant application to provide technical assistance to Local Educational Agencies in conducting programs of bilingual education. The grant of any State may not exceed 5% of the total amount paid to Local Educational Agencies in the same State. Technical assistance may take the following forms:

a. monitoring programs of bilingual education;
b. evaluating the impact of bilingual education programs;
c. facilitating exchange of information among bilingual programs;
d. disseminating to Local Education Agencies sample copies of materials acquired by the State Educational Agency.

Finally, the Commissioner of Education is authorized to make payments to the Secretary of the Interior for bilingual education projects to serve children on reservations having elementary and secondary schools for Indian children operated or funded by the Department of the Interior.

Program Scope:

The funding allocation for the five program areas is given below for FY 1976 and FY 1977.

Program	FY 1976		FY 1977	
	Funding	Awards	Funding	Awards
Basic Grants	$59,362,000	425	$74,300,000	499
Support Services	12,000,000	32 1/	12,000,000	32 1/
Training	19,475,000	525	20,700,000	599
Fellowships	4,000,000	708	4,000,000	652
Technical Assistance	1,200,000	38	3,790,000	43

1/ 15 Training Resource Centers, 14 Materials Development Centers, and 3 Dissemination/Assessment Centers.

Additionally, during FY 1977 approximately $100,000 was allocated to the National Council on Bilingual Education and $167,000 was used for the planning of the bilingual education clearinghouse.

Program Effectiveness and Progress:

As noted, the bilingual education program has multiple objectives. Information on each of the objectives is first summarized and then more detailed results from recently completed evaluations are reported.

Several studies have indicated that there are not enough qualified bilingual teachers to provide bilingual education to all limited English-speaking children. To date, however, there has been no assessment of the extent to which the teacher shortage has been solved by the federal program. Studies also indicate shortages of instructional materials for most languages but there has been no overall determination of the extent to which Title VII efforts are remediating the situation. (An on-going review of material availability will be completed in June 1978.)

With respect to classroom projects supported by Title VII, two kinds of findings have recently been reported: those having to do with the complex process of establishing bilingual education projects in local school districts and those demonstrating the impact of such projects on participating children. Briefly the conclusion is that Title VII projects experience many implementation problems especially because of the shortages of teachers, materials and instructional models to follow. Also the proportion of children participating in Spanish/English projects who are English-dominant is larger than might be expected based upon the objectives of the law. With respect to academic achievement in Spanish/English projects, preliminary evaluation results indicate positive outcomes in math computations but unfavorable outcomes in English language arts. More detailed results are given below. Also the results from a study of State bilingual education programs, while not a federal evaluation, *per se*, are summarized in an addendum.

Initiation and Administration of Local Bilingual Projects

Political response to limited English-speaking constituents and desires to qualify for additional federal funds appear to be the motivating factors for initiation of local bilingual education projects. Administrative considerations soon follow: questions related to organization, staffing, budget, social priorities, etc. Thus, the perceived educational needs of limited English-speaking students which originally prompted project application, soon become subsumed under political and administrative concerns and the educational merit of bilingual education is no longer a prominent factor. Generally, within any given ethnic group, constituents want bilingual programs to serve only ethnic children; moreover, they prefer that all given ethnic children be served -- not just those deficient in English.

As local projects gain operational experience with bilingual education, implementation problems appear -- those concerned especially with shortages of qualified teachers, adequate curriculum materials, and exemplary instructional models. For example, although Spanish language materials may often not be plentiful, local projects tend to under-utilize commercial materials even when available. Dissemination of ideas and exchange of curriculum materials are practically non-existent and districts often develop their own approaches.

The question of whether local projects should be a "transition" (to English) program or a "maintenance" (of the home language and culture) approach is the one most important issue of local projects. Most projects went beyond a simple transition approach as attested to by the findings that less than one-third of the students enrolled in the Title VII Spanish/English classrooms in grades 2 through 6 were of limited English-speaking ability. Only 5% of the project directors indicated that a student is transferred to an English-only classroom once the student learns English well enough to function in school.

Student Participation

It has been estimated that approximately 80% of the students enrolled in bilingual education programs are of Hispanic origin and that less than half of the total number of limited English-speaking children are being served by bilingual programs. Unfortunately, a valid, standard method for identifying non-English- or limited English-speaking students is not yet available, and among the various States only three (California, Colorado and Michigan) test students to identify limited English-speaking ability.

Impact on Students

Except for one study dealing with Spanish-speaking students, data concerning the impact of Title VII projects on students are very limited. According to preliminary results from this study, Spanish-speaking students were generally achieving at the 20th to 25th percentile in English language arts and in the 30th percentile in mathematics computation. In the latter area, Title VII students performed better than non-Title VII students at all grades tested but the reverse was true in English language arts. Participation in a Title VII project did not affect attitudes toward school-related activities.

Per Pupil Costs

For students enrolled in the Title VII projects, per pupil expenditures from Title VII funds ranged from $150 to $739 with an average of $310. Considering all sources of funds, the per pupil cost for Title VII students ranged from $1127 to $2120 with an average of $1398. The total per pupil cost for non-Title VII students ranged from $992 to $1354 with an average of $1022.

ONGOING AND PLANNED EVALUATION STUDIES

A Study of Bilingual Education Material Development

The purpose of this study is to determine the status of the development of curriculum materials for children of limited English-speaking ability and to analyze the process by which these materials are introduced into the classroom. The study will include curriculum materials for grades pre-K to 12, in 12 language groups -- Spanish, French, Portuguese, Italian, Japanese, Vietnamese, Korean, Filipino, Native American (including Eskimo), Greek, and Haitian French. The final report is due June 1978.

Evaluation Of Bilingual Project Implementation Via Project-Information Packages

Between 1974 and 1976, the U.S. Office of Education developed four Project Information Packages (PIP's) for bilingual education projects. Three PIP's were for Spanish/English bilingual education projects and, the fourth, French/English. A PIP provides an adopting school district with guides, manuals, and other materials fully describing the instructional and management activities necessary for project success. The PIP materials are designed to provide enough detail to enable adopting school districts to carry out all aspects of planning, starting, and operating a bilingual education project. The goals of the study are: (a) determine the effectiveness of the PIP's in assisting school districts select and implement the bilingual education projects they describe, (b) determine the effectiveness of the projects implemented via the PIP's in improving student achievement and attitude, (c) identify and analyze implementation problems encountered by school districts, and (d) revise the PIP's on the basis of user input and problems identified. The final report is scheduled for completion in December 1979.

Evaluation of the Impact of ESEA Title VII Spanish/English Bilingual Program

Evaluated here is the effectiveness of the ESEA Title VII Spanish/English bilingual education program. This longitudinal evaluation focused on Spanish/English bilingual programs in either their fourth or fifth year of operation and primarily assessed student achievement in English Language Arts and Mathematics Computation. A final report is due March 31, 1978.

Addendum: A Study of State Programs in Bilingual Education

The study of State programs in bilingual education was designed to describe and analyze State and extra-State (e.g., American Samoa) programs in bilingual education for students of limited English-speaking ability. Topics included in the analysis were the authorizing legislation, procedures used to identify program goals and objectives, mandated or prohibited approaches/practices, and program requirements as, for example, staff qualifications, training activities, materials, and student/teacher ratios. The contractor for the project was Development Associates, Inc. of Washington, D.C. and the project was begun in summer 1975.

Findings

State Legislation

- As of December, 1976, 10 States have adopted mandatory bilingual instruction and 16 States have legislation specifically permitting bilingual instruction. Fourteen States are silent on bilingual education but 11 of these have implemented bilingual education projects during FY 1976.
- LEAs in 10 States were prohibited by law from giving classroom instruction in any but the English language. However, some of these states chose not to enforce this prohibition; for example, four allowed the operation of Title VII (Bilingual Education Act) projects.
- The five most frequent requirements or provisions of State legislated bilingual education programs are:
    - Implementation of "transitional" bilingual instruction programs (17 States),
    - Establishing special qualifications for the certification of bilingual education teachers (13 States),
    - Providing local educational agencies with supplementary funds in support of bilingual education (13 States),
    - Mandating a cultural component in bilingual instruction programs (13 States).

Funding

- Of the 19 States operating State bilingual education programs in the 1975-76 school year, 16 appropriated funds specifically for bilingual education. The financial support reported by these States varied greatly from $19 per student to $431 per student.
- All 16 of the States which financially supported bilingual education programs operate direct service programs in contrast to demonstration or experimental programs.
- Only four States and one extra-State jurisdiction reported having allocated more State funds for bilingual education than they received from the Federal government during the 1975-1976 school year (Colorado, Illinois, Massachusetts, Utah, and Puerto Rico).
- Funding of bilingual education projects at the school district level is varied. Rarely are local projects supported from just one source of funds. In addition to local and State funds, 18 Federal programs provided some financial support to bilingual education projects.

- Ninety percent of Federal funds supporting bilingual education are provided through ESEA Title I and ESEA Title VII funds (37 percent, and 53 percent, respectively.)

Students, Teachers and Curriculum Materials

- Methods used in identifying students of limited English speaking ability (LESA) are inadequate. In general, neither a yearly LESA student census nor a standard method for identifying LESA students is required.

- Twenty-two States reported over 1.3 million students as limited English speakers and therefore eligible for, or in need of, bilingual education. Of these, approximately 500,000 students (40 percent) were enrolled in bilingual instruction programs.

- Nine of the 40 States permitting bilingual instruction in their schools authorize students in non-profit, non-public schools to participate in their bilingual instruction program Seven States do not permit participation; three States indicated that participation is unconstitutional and the others did not respond to the question.

- Fifteen of the 20 States visited reported that there is a considerable shortage of qualified bilingual education teachers. SEAs and LEAs are actively working with university-level teacher-training institutions to alleviate this shortage.

- Bilingual education materials in the non-Spanish languages were generally not available. Even for Spanish, in many instances such materials were not readily available, were inappropriate, or knowledge of their existence was limited. Dissemination of bilingual curriculum materials was generally limited.

Extra-State Jurisdictions

- The extra-State jurisdictions of Samoa, Guam, Puerto Rico, the Virgin Islands and the Trust Territory of the Pacific Islands view the Federal bilingual education program as a "mixed blessing": they agree it has helped their educational efforts, but feel that greater flexibility is needed for the educational situations of the island peoples who have cultural, language and administrative traditions widely different from those on the mainland.

State Administration

- The level of financial management and technical support provided by States for bilingual education varies widely.

- Collectively, State Education Agencies currently play a minor but growing role in bilingual education.

- Only 13 SEAs had full-time personnel involved in bilingual education and only 8 had three or more staff members so involved.
- Twenty-nine SEAs provided some degree of technical assistance to LEAs on bilingual education matters.
- Fourteen States impose special requirements for the qualification of bilingual education instructional personnel. The most common requirement was fluency in the second language of the program.

Summary

On the whole, States are playing a limited but growing role in bilingual education. The number of States which mandate or permit bilingual education has grown to 40. State financial support is still quite limited, however; in most States, Federal funds for bilingual education exceed State funds. With a few exceptions, the number of State Education Agency personnel involved in bilingual education is small and, consequently, provision for State-wide leadership and technical assistance to local school districts is limited.

Sources Of Evaluation Data:

1. American Institutes for Research. Evaluation of the impact of ESEA Title VII Spanish/English Bilingual Education Program. Volume I: design and interim findings. February, 1977.

2. American Institutes for Research. Evaluation of the impact of ESEA Title VII Spanish/English Bilingual Education Program. Volume II: Project descriptions. February, 1977.

3. Sumner, G. & Zellman, G. Federal programs supporting educational change. Volume VI: Implementating and sustaining Title VII bilingual projects. The RAND Corporation, January, 1977.

4. Comptroller General of the United States. Bilingual education: an unmet need. Washington, D. C.: United States General Accounting Office, 1976.

5. Development Associates, Inc. Final Report: A study of state programs bilingual education. March, 1977.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Follow Through

Legislation:

Community Services Act
of 1974 (P.L. 93-644)

Expiration Date:

September 30, 1977

Funding History

Year	Authorization 1/	Appropriation
1968		$15,000,000
1969		32,000,000
1970		70,300,000
1971	70,000,000	69,000,000
1972	70,000,000	63,060,000
1973	70,000,000	57,700,000
1974	70,000,000	53,000,000
1975	69,000,000	55,500,000
1976	60,000,000	59,000,000
1977	60,000,000	59,000,000
1978	60,000,000	59,000,000

Program Goals and Objectives:

According to the authorizing legislation, Follow Through Program provides "financial assistance to local educational agencies, combinations of such agencies and any other public or appropriate nonprofit private agencies, organizations, and institutions for the purpose of carrying out Follow Through programs focused primarily on children from low-income families in kindergarten and primary grades, including such children enrolled in private nonprofit elementary schools, who were previously enrolled in Headstart or similar programs." Further, the legislation provides that projects must provide comprehensive services which, in the judgement of the Secretary, will aid the continued development of the children.

Follow Through is defined in its regulations as "an experimental community services program designed to assist, in a research setting, the overall development of children enrolled in kindergarten through third grade from low-income families, and to amplify the educational gains made by such children in Headstart and other similar quality preschool programs by (a) implementing innovative educational approaches, (b) providing comprehensive services and special activities in the areas of physical and mental health, social services, nutrition, and such other areas which supplement basic services already available within the school system, (c) conducting the program in a context of effective community service and parental involvement, and (d) providing documentation on those models which are found to be effective.'

1/ An authorization level was not specified prior to FY 71.

The experimental feature of the program is the implementation of a variety of educational approaches in school settings with greater than average amounts of supplementary services and a high degree of parental involvement. The factor which varies in controlled ways and is thus subject to evaluation is the kind of educational approach. As an experimental program, the focus of evaluation is upon the relative effectiveness of the alternative educational models in contrast to a service program where overall impact of the program is a major concern. In an experimental program it should not be surprising to find that a number, perhaps many, of the educational approaches being tested are not successful. Whatever the specific results, the overall goal is to add to our knowledge about what works and what does not work for children from low-income families.

The overall development of children and especially their educational gains are clearly the focus of the Follow Through Program. Consequently, the objectives of the various educational approaches being tested include the improvement of achievement in the basic skills, self-esteem, motivation to learn and general problem-solving ability.

Program Operations:

The Follow Through program operates out of two offices. The responsibility for administration and management of the program lies with the Division of Follow Through while the responsibility for evaluation lies with the Office of Planning, Budgeting and Evaluation.

The major portion (75 percent) of the Follow Through FY 1977 appropriation is used to fund 161 local projects to service the Follow Through children and to implement the Follow Through models.

The next largest portion (10 percent) of the Follow Through appropriation goes to sponsors of the 20 Follow Through models. These sponsors are generally university or research institutions that have designed approaches to early childhood education. The sponsors are responsible for delivering and installing their models at local sites, providing for continuous technical assistance; teacher training; guidance; and quality control.

Approximately 5 percent of the Follow Through appropriation is being spent to fund expanded demonstration activities in twenty-one sites judged exemplary by the OE/NIE Joint Dissemination Review Panel.

About 2 percent of the Follow Through appropriation is spent on evaluation. The remaining 8 percent of the Follow Through monies are used for program related activities such as supplementary training of para-professionals, grants to states to provide technical assistance to local school districts, and for hiring subject specialists to provide technical assistance to Follow Through projects.

The 161 school districts and the 20 sponsors receiving Follow Through funds were selected between 1967 and 1972. Each year the LEAs and the sponsors submit to USOE proposals for continuation of grants.

Program Scope:

In FY 1977, more than 74,000 Follow Through children in kindergarten through third grade received instructional and other services at more than 600 elementary schools from more than 3,000 classroom teachers and more than 4,000 teacher-aides in 161 projects across the country. The program emphasizes community and parental involvement and encourages the focusing of available local, State, private, and Federal resources on the needs of Follow Through children.

The Follow Through program is comprehensive in scope and encompasses all instructional and noninstructional services. On the average, including state, local and federal sources, it costs almost $800 more per pupil to educate Follow Through children than similar non-Follow Through children in 1976. The largest portion or about 26 percent of this incremental cost went to pay for teacher-aides; 21 percent for Follow Through sponsor services; 16 percent for teacher training and medical, psychological, social services; 9 percent for project director and LEA evaluations, another 9 percent for local curriculum development, 6 percent for parent coordinators and home visitors, and 13 percent for all other services and activities.

Program Effectiveness and Progress:

As an experimental research program, the goal of the Follow Through program is to identify effective approaches for the education of low-income children in kindergarten through third grade. Preliminary* results of a large-scale, multi-year evaluation can now be reported. Follow Through children, grouped at the site level, were compared to similar children in order to estimate incremental effects of the various models. The comparison children generally received supplementary services such as provided by Title I. Of the 22 early elementary school approaches tried, few can be said to have added a substantial positive increment to the expected educational outcomes of participating children. One approach, the Direct Instruction Model, sponsored by the University of Oregon, was more successful on most measures than the other approaches; however, even that model was not uniformly successful in all sites. Several other models showed some success on some measures in some sites. In many cases and for most models the results were inconclusive either because the evidence was not conclusive enough to permit judgments to be made or because the evidence was mixed (i.e., the results were positive in some sites, negative in some and neutral elsewhere).

The foregoing summary of the results of the Follow Through evaluation is based upon national, local and sponsor evaluations. The effects of the models on children were assessed on a variety of measures including reading, mathematics, spelling, language arts, abstract reasoning, and self-esteem. In most of the evaluations, the performance of children in Follow Through was compared to children of similar socio-economic status but not in Follow Through. In the national evaluation, which concentrated on 16 models, the performance of children who participated in the full Follow Through Program was compared with matched samples who did not receive Follow Through.

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*Results were preliminary at the time of this writing (late summer 1977); final evaluation results are expected to be released in early fall.

Since the purpose of Follow Through is to learn which approaches are the most effective, most of the results focus upon the benefits or deficiencies of individual models and are not easily summarized. However, some generalizations are offered below:

The effectiveness of most models varied substantially from site to site. Most models have instances of both success and failure at the school district level. This, in part, reflects the fact, which is also known from other research, that instructional approaches can account for only a limited amount of variation in school outcomes. Many other factors, including ones outside the control of the schools, influence the learning process.

Despite the finding that most models are not powerful enough to overcome other factors which tend to suppress the educational achievement of disadvantaged children, a number of successful projects have been found at the local level. These projects are being funded as resource centers in FY 1977.

Most special instructional approaches and supplementary services for disadvantaged children in Follow Through do not seem superior to other service programs (i.e., Title I) as measured by standardized tests of educational performance. In part this is a corollary to the preceding conclusions but it goes beyond it. The Follow Through experiment suggests that instructional approaches do not differ widely in their impact upon children's test scores, but when they do, the differences are somewhat more likely to favor the more structured approaches.

Educational approaches which stress that children should have a substantial role in choosing their activities and that the teacher's role should be less overtly directive than in traditional classrooms tend to compare poorly with more traditional approaches. Advocates of these approaches usually believe that children from the "child-centered" classrooms excel in areas not measured by instruments like those used in the Follow Through experiment. What does seem evident is that students in the "child-centered" classroom frequently do not do well on the traditional types of standardized tests. Some child-centered models have been successful on model developed instruments.

In the case of Follow Through, implementation difficulties have contributed in part to the site-to-site variation which lessens the strength of conclusions which can be drawn about the effectiveness of specific educational approaches.

*Sources of Evaluation Data:

The Follow Through Planned Variation Experiment

Volume I. A Synthesis of Findings. Washington, D.C.: DHEW, USOE, 1977.

Volume II-A. National Evaluation: Patterns of Effects. Cambridge: ABT Associates, Inc., 1977.

Volume II-B. National Evaluation: Detailed Effects. Cambridge: ABT Associates, Inc., 1977.

Volume II-C. National Evaluation: Detailed Effects. Cambridge: ABT Assoicates, Inc., 1977.

Volume II-C. Appendix. Cambridge: ABT Associates, Inc., 1977.

Volume III. Sponsor Evaluation: Patterns of Effects. Washington, D.C.: Follow Through Sponsors, 1977.

Volume IV. Cost Analysis. Bethesda, Maryland: RMC Research Corporation, 1977.

Volume V. A Technical History of the Nation Follow Through Evaluation. Cambridge: The Huron Institute, 1977.

Volume V. Appendix. Cambridge: The Huron Institute, 1977.

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* See Addendum to Section on the Packaging and Dissemination Program.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

School Assistance in Federally Affected Areas (SAFA) - Maintenance and Operations

Legislation:

P.L. 81-874, as amended by P.L. 93-380

Expiration Date:

June 30, 1978 /1

Funding History:

Year	Authorization	Appropriation
1969	$560,950,000	505,900,000
1970	1,150,000,000	505,400,000
1971	935,295,000	536,068,000
1972	1,024,000,000	592,580,000
1973	1,025,000,000	635,495,000
1974	989,391,000	574,416,000
1975	980,000,000	636,016,000
1976	995,000,000	684,000,000
Transition Quarter		70,000,000 /2
1977	1,090,192,000/3	768,000,000
1978	1,198,000,000/3	770,000,000

Program Goals and Objectives

P.L. 81-874 provides assistance to local school districts for current operating costs of educating children in areas where enrollments are affected by Federal activities. The purpose of the legislation is to minimize the fiscal inequities caused by both the presence of tax-exempt Federal lands and the burden of providing public school education to children who reside on Federal property or have a parent

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1/ Provisions pertaining to "A" category pupils and children attending schools on Federal installations are permanent.

2/ Includes $15 million in Transition Quarter funds for fiscal year 1977 start up costs.

3/ Does not include disaster provisions.

employed on Federal property or a member of one of the uniformed services. The law also provides for the full cost of educating children residing on Federal property when State law prohibits the expenditure of State funds for the schooling of such children or where no local education agency is able to provide suitable free public education. Assistance is also provided for schools damaged in major or pinpoint disasters. Indian Lands and low-rent housing are included in eligible Federal property under this law.

P.L. 874 is the closest approximation to general aid from the Federal Government available to eligible school districts. SAFA funds become part of the general operating accounts of LEAs. P.L. 93-380 incorporated two exceptions for (a) handicapped children of military personnel, and handicapped children residing on Indian lands, funds for which must be used for special programs to meet the needs of these children, and (b) children from public housing, funds for which must be used for ESEA Title I-type programs. P.L. 93-380 also amended Section 5(d)(2), to allow a waiver to the prohibition against State consideration of P.L. 874 payments when determining the eligibility and amount to be paid under a State aid program, if the State has a program designed to equalize expenditures among its school districts.

Program Operations

Payments are made directly to local education agencies (or to Federal agencies where they are operating schools). The payments are based on normal expenditures per pupil from local sources for children who reside on Federal property and/or reside with a parent employed on Federal property, or who had a parent on active duty in the uniformed services. Applications are submitted to the Commissioner through the State education agency, which certifies that information in the local application is accurate insofar as records in State offices are concerned.

The law as amended specifies how to compute the amount to which a local educational agency is entitled. Basic to that process is the computation of the local contribution rate if the minimum rate of either one-half the State or national average per pupil cost is not used. To calculate the rate, a determination must be made as to which school districts in a State are like that of the agency in question. The rate is the result of dividing the sum of the expenditures from local sources made two years previously by the comparable districts by the average daily attendance of such districts in that same prior year. An agency's entitlement is then computed according to formulas and qualifications prescribed by the amended law. It is the product of the rate and various stipulated percentages of the rate times the number of pupils who may be determined to be in more than a dozen different categories with respect to the residence and employment of a parent on Federal property.

Among the changes made by the Education Amendments of 1974 affecting Public Law 81-874 were the exclusion from consideration for entitlement children of civilians employed on Federal property in a State other than the State in which the local education agency is located, changes in entitlement for various categories of eligible children, and requirements for a new method of calculating payments if appropriations are insufficient to fully meet entitlements. A three-tier system, designed to assure some level of payments for all parts of the program, is required. The first tier payment is 25 percent of all eligible payments, including public housing. The second tier payment, assuming sufficient appropriations, picks up varying percentages of the different categories of payments, but excludes public housing, and the third tier, assuming appropriations above requirements of the first two tiers, pays the remaining percentages of payments for the various categories, including public housing.

The Amendments of 1974 also contained four "savings" or "hold harmless" clauses designed to reduce the impact of changes in entitlements and to offset substantial reductions in impact aid funds for school districts affected by military base closings announced after April 16, 1973. These savings clauses are designed to maintain payments to a school district at 90 percent or 80 percent of its previous year's payment, depending on the percentage of local expenditures derived from P.L. 81-874 sources or the percentage of federally- connected students in the district, or to offset decreases resulting from application of the payment method for public housing pupils.

Federal payments on the average represented about two percent of the total operating costs of eligible districts in 1976, with a range of less than one percent to more than 90 percent.

Program Scope

In 1977 there were awards made on the basis of 2,469,108 school children counted for aid purposes, including payments to other Federal agencies maintaining schools for 42,000 pupils. Since the funds are available for the general operating accounts of school districts, some or all of the 23 million children enrolled in SAFA-aided school districts could conceivably benefit from the aid provided by the program. Funds were provided for disaster assistance in FY 1976 in the amount of $12 million.

Program Effectiveness and Progress:

One purpose of the program--to reduce inequities caused by the presence of tax-exempt Federal lands and the burden on local education agencies of providing free public education to children whose parents are connected to the Federal Government--was addressed in a study conducted by the Battelle Memorial Institute for the U.S. Office of Education in 1969. The study found that impact aid payments result in unjustified payments to some school districts and overcompensates them for the real or presumed burden of Federal activity. Some important changes were made under provisions of

P.L. 93-380 and are noted below, but some of the conditions described in the study are still in effect, resulting in "windfall" payments because of:

1. Payments that far exceed the cost to the local government of educating Federal pupils.

2. Payments to wealthy school districts which could finance better-than-average school costs without SAFA aid.

3. Payments to districts where the economic activity occurring on non-taxable Federal lands (e.g., a leased oil well or an aircraft company on Federal property) generates enough local taxes to support increased school costs.

4. Payments to school districts which are compensated twice for the same government impact under different Federal legislation. For example, some districts benefit from shared revenues, such as timber and Taylor grazing revenues from public lands and are entitled to impact aid under P.L. 81-874. Because impact aid is based upon the student population rather than property characteristics, the two payments frequently overlap to the benefit of the school districts.

5. Higher per pupil payments to rich districts than to poor ones resulting from the inclusion of local expenditure in calculating the aid formula.

6. Payments that often do not reflect the economic stimulus that the Federal government may cause in a community.

As a result of these observations, Battelle proposed specific changes in the existing law:

1. Absorption - Paying only for those students in a school district that exceed the Federal impact on all districts. This average impact for Federal activity was estimated at 3 percent of all students for the country as a whole.

2. Change in entitlement - Changing the entitlement for B pupils from the current level of 50 percent of the A students, i.e., those whose parents live and work on Federal property, to 40 percent of the A students. The rationale offered for this change is that school districts are presumed only to lose an estimated 40 percent of property tax revenues normally paid by business, which, for the parents of B students, is the untaxable Federal property where they work.

3. Richness cutoffs - Reducing or eliminating districts that have an average tax base that is 25 percent above State average per pupil tax base. The present law has no such cutoff.

Battelle also suggested that the local tax effort be taken into account in devising any formula changes; that Federal in-lieu-of-tax payments, shared revenues and other special payments be deducted from impact aid payments; and that the capital cost program (P.L. 815) be merged with the operating cost program (P.L. 874).

A recent study of the program by the General Accounting Office (GAO) made similar findings, particularly in reference to determination of eligibility and payment rates. For example, among the selected school districts included in its study, GAO reported instances of errors in count of eligible pupils and inconsistences in determining eligibility and in establishing payment rates for eligible districts. USOE planned actions are responsive to most of the GAO recommendations.

P.L. 93-380 made substantial changes in the program, largely effective in FY 1976. While these changes did not incorporate the specific recommendations of the Battelle study, some of them are consistent with the spirit and intent of these recommendations. For example, the existing "B" category pupils (reside on Federal property or reside on privately owned property with a parent employed on Federal property or in the uniformed services) were put into four groups for determining entitlement: 1) parent in the uniformed services--entitlement remains at 50 percent of the LCR, 2) parent is a civilian employed on Federal property located in whole or in part in the same county as the school district--entitlement will be 45 percent of the LCR,(3) parent is a civilian employed on Federal property located outside the county of the LEA--entitlement will be 40 percent of the LCR, (4) parent employed outside the State of residence--no entitlement. Another provision to make the program more equitable will allow States with equalization programs to consider SAFA funds to some extent in their State aid programs, offsetting windfall payments some districts might receive.

Sources of Evaluation Data:

1. Battelle Memorial Institute, School Assistance in Federally Affected Areas: Study of Public Laws 81-874 and 81-815, published by Committee on Education and Labor, H.R., 91st Congress, 2nd Session, GPO, 1970.

2. Administration of Public Laws 81-874 and 81-815. Annual Report of the Commissioner of Education, U.S. Department of Health, Education, and Welfare, GPO, 1976.

3. Assessment of the Impact Aid Program. Report to the House Committee on Education and Labor by the Comptroller General of the United States, October 15, 1976.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

School Assistance in Federally Affected Areas (SAFA): Construction

Legislation:	Expiration Date:
P.L. 81-815, as amended by P.L. 93-380	June 30, 1978*

Funding History:	Year	Authorization	Appropriation
	1969	$79,162,000	14,745,000
	1970	80,407,000	15,181,000
	1971	83,000,000	15,000,000
	1972	91,250,000	20,040,000
	1973	72,000,000	15,910,000
	1974	72,000,000	19,000,000
	1975	72,000,000	20,000,000
	1976	70,000,000	20,000,000
	1977	70,000,000	25,000,000
	1978	70,000,000	30,000,000

Program Goals and Objectives

P.L. 81-815 is designed to provide local education agencies with financial aid for school construction under specified conditions: for construction of urgently needed minimum school facilities in school districts which have had substantial increases in school membership as a result of new or increased Federal activities (Section 5); where provision of the non-Federal share of construction imposes a financial hardship (Section 8): and for the construction of temporary school facilities where a Federal impact is expected to be temporary (Section 9). The law also directs the Commissioner to make arrangements for providing minimum school facilities for Federally-connected children if no tax revenues of the State or its political subdivisions may be spent for their education or if the Commissioner finds that no local education agency is able to provide a suitable free public education (Section 10). Assistance is authorized for construction of minimum school facilities in local education agencies serving children residing on Indian lands by Sections 14(a) and 14(b).

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* Provisions pertaining to Section 5(a)(1) pupils and Sections 10 and 14 are permanent.

and Section 14(c) authorizes assistance to financially distressed local education agencies which have substantial Federal lands and substantial numbers of unhoused pupils. Emergency aid is available to LEAs for the reconstruction of school facilities destroyed or seriously damaged in school districts located in declared major disaster areas and in certain districts affected by a pinpoint disaster (Section 16).

Since FY 1967, appropriations for P.L. 81-815 have been substantially below the amounts required for funding of all qualified applicants under the law. The basic law requires that disaster assistance under Section 16 be funded from available funds (these payments may then be covered by supplemental appropriation requests) and that Section 9 (temporary Federal impact), 10 (school construction on Federal property), and 14 (a) and (b) (children residing on Indian lands) will receive priority over other provisions. The law requires that eligible applications be ranked within each section on the basis of relative urgency of need and that available funds be assigned on this basis. The ranking by relative urgency of need is based on the percentage of federally connected children eligible for payment in a school district and the percentage of "unhoused" pupils in the district. "Unhoused" pupils are those in membership in the schools of a district over and above normal capacity of available and usable minimum school facilities.

Program Operations

All grants are made to qualified school districts on the basis of applications. The amount of payment to a LEA under Section 5 varies from 95 percent of the average State per pupil cost for construction for increases in the number of children residing on Federal property to 50 percent for increases in the number of children residing with a parent employed on Federal property or on active duty in the uniformed services, to 45 percent for increases resulting from Federal activities carried on either directly or through a contractor. Grants are further limited to actual cost of providing minimum school facilities for children who would otherwise be without such facilities. Full costs of construction are authorized for temporary facilities required as a result of Federal activities and for facilities which local education agencies are unable to provide for children residing on Federal property. For children residing on Indian lands, grants are based on needs of the school district for providing minimum school facilities.

In recent years appropriation language has directed available funds toward the most urgent needs for school facilities. In FY 1975, for example, funds were directed toward high priority projects under Section 5 (grants to heavily impacted local school districts) and to facilities for children residing on Indian lands (Section 14). In FY 1976, funds were directed toward projects under Section 5 in school districts impacted by Trident activities in the State of Washington. After funding emergency repairs to Federal installations constructed under Section 10 remaining funds were directed to Section 5 and Section 14(a) and (b) projects with approximately $7 million reserved for Section 5 and $7 million for Section 14 in FY 1976. In addition $1.6 million was provided for major disaster areas under provisions of Section 16.

Program Scope

Since 1951 P.L. 815 has provided $1.5 billion for school construction to house more than 2 million pupils. Funding history for the past 10 years is as follows:*

Section and Fiscal year	Number of projects	Amount of funds reserved	Number of classrooms	Pupils housed
Section 5, 8, 9				
1968	36	$10,647,381	903	27,208
1969	123	69,803,905	2,416	98,390
1970	69	1,004,911	7,801	241,770
1971	3	568,915	277	6,335
1972	0*	0	116	3,480
1973	9	9,355,242	193	5,145
1974	23	17,319,924	223	6,223
1975	3	7,404,240	94	2,768
1976	3	3,628,787	50	1,470
1977	4	5,500,000	250	7,000
Section 14				
1968	2	1,085,998	20	690
1969	11	2,071,858	20	505
1970	0	2,603,869	0	0
1971	4	4,346,095	30	597
1972	1	2,448,601	5	162
1973	1	930,000	10	120
1974	8	9,639,583	135	2,981
1975	0	8,073,672	0	0
1976	0	7,229,686	0	0
1977	9	7,100,000	250	7,000

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* Zeros indicate projects started in prior years or funds reserved in prior years; number of classrooms completed and pupils housed represent projects completed during the year, funds for which may have been reserved in prior years.

Section and Fiscal year	Number of projects	Amount of funds reserved	Number of classrooms	Pupils housed
Section 10				
1968	13	1,749,902	38	813
1969	20	14,469,886	137	3,704
1970	11	1,166,197	37	746
1971	14	12,651,927	55	4,152
1972	9	10,151,252	99	2,390
1973	1	18,000	0	0
1974	6	505,690	3	70
1975	0	811,291	0	0
1976	0	6,207,689	0	0
1977	9	4,900,000	0	0

In addition, more than $31 million has been obligated to reconstruct school facilities destroyed or seriously damaged by a major disaster since such assistance was first authorized in FY 1966.

Program Effectiveness and Progress

A backlog of eligible applications has accumulated since 1967, when appropriations were no longer adequate fully to fund all of them. At the close of FY 1976, this backlog was estimated at $845 million, as follows:

Section 5	$115	million
Section 10	230	million
Section 14	500	million
	$845	million

In recent years available funds have been directed toward high priority needs of Section 5 and Section 14 (a) and (b), with some funding for emergency repair of Federal installations constructed under Section 10. A study of current construction needs under Section 10 is now in progress. Some of the entitlements making up this backlog may not represent current needs, which must be demonstrated before actual funding can occur, and some represent low priority applications with relatively small numbers of unhoused pupils. However, the backlog of eligible applications is growing, with estimated entitlements for the current year at more than $70 million.

An evaluation of P.L. 81-815 was contained in a study by the Battelle Memorial Institute. The study concluded that with its system of project by project approval the administration of P.L. 815 is unnecessarily complicated. Furthermore, "because capital projects are easily deferrable in the Federal budget, P.L. 815 provides for uncertain levels of support based upon a priority system that tends to penalize a district that proceeds on its own to provide classrooms for federally connected students." The Battelle Study recommended that the capital cost program (P.L. 815) applicable to the usual situations be merged with the operating cost program (P.L. 874) in order to simplify its administration and provide assistance on a current basis.

Sources of Evaluation Data:

1. Battelle Memorial Institute, School Assistance in Federally Affected Areas: A Study of Public Laws 81-874 and 81-815, published by the Committee on Education and Labor, H.R. 91st Congress, 2nd Session, GPO, 1970.

2. Administration of Public Laws 81-874 and 81-815. Annual Report of the Commissioner of Education, U.S. Department of Health, Education, and Welfare, 1976.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

PROGRAM NAME:

Emergency School Aid Act (ESAA)

Legislation:	Expiration Date:
Title VII of the Education Amendments of 1972 (PL 92-318) as amended by the Education Amendments (PL 93-380) and PL 94-482	September 30, 1979

Funding History

Fiscal Year	Authorization($)	Appropriation($)
1973	1,000,000,000	228,000,000
1974	Total of	236,000,000
1975	1,000,000,000	215,000,000
1976	for FY 74-76[1]	248,000,000,
Transition Quarter		3,000,000[2]
1977	Total of	257,500,000
1978	1,000,000,000	
1979	for FY 77-79[3]	

Program Goals & Objectives

In June of 1972 the Emergency School Aid Act (ESAA) was enacted into law to provide local educational agencies with financial assistance — (1) to meet the special needs incident to the elimination of minority group segregation and discrimination among students and faculty in elementary and secondary schools; (2) to encourage the voluntary elimination, reduction or prevention of minority group isolation in elementary and secondary schools with substantial proportions of minority group students; and (3) to aid school children in overcoming the educational disadvantages of minority group isolation. In addition to these general objectives, each of the Act's authorized subprograms has specific objectives consistent with the Act's overall goals.

ESAA originally authorized eight subprograms, three of which were State apportionment programs (Basic Grants, Pilot Projects, and Nonprofit Organization grants) and the remaining five (Bilingual Projects, Educational Television, Metropolitan Area Projects, Special Projects, and Evaluation) were discretionary programs.

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[1] Original authorization was for 1 billion dollars for FY 73 and a similar amount for FY 74. PL 93-380 changed the authorization such that the second billion dollars is authorized for the entire period from FY 73 through FY 76.

[2] An additional $30 million was available from the FY 1976 appropriation from the FY 1976 appropriation from June 1, 1976 through the transition quarter.

[3] PL 94-482 authorizes $1,000,000,000 for ESAA activities for fiscal years 1977-79. Additionally, $25,000,000 and $50,000,000 are authorized for special award categories in 1977.

The 5 percent reservation from the annual appropriation for Metropolitan Area Projects was eliminated by Section 642 of P.L. 93-380 in August, 1974. Since that amendment and pursuant to statute and regulation, 87 percent of the annual appropriation has been reserved for the State apportionment programs -- Basic Grants 64 percent, Pilot Projects 15 percent and Nonprofit Organization grants 8 percent. The remainder of the annual ESAA appropriation is reserved as follows for the discretionary programs: Bilingual Projects, 4 percent; Educational Television, 3-4 percent; Special Projects (including Metropolitan Area Projects), 4-5 percent; and, Evaluation, 1 percent.

The objective of the discretionary programs can be summarized as follows. The Bilingual Projects provide funds to local education agencies and private nonprofit organizations for bilingual programs designed to equalize the educational opportunity of minority group children from environments where the dominant-language is other than English. Educational Television contracts are awarded to public or private non-profit agencies, institutions or organizations for the development and production of integrated children's television programs of cognitive and affective educational value. Special Project assistance is awarded to State and local educational agencies, other public agencies and organizations and private nonprofit organizations for purposes of conducting special programs and projects which are consistent with the purposes of the Act. The final discretionary program, Evaluation, authorizes grants to, and contracts with, State educational agencies, institutions of higher education, private organizations for purposes of evaluating programs assisted under the Act, and a new discretionary program, Magnet Schools, established by P.L. 94-482, made its first awards in FY 1977. This program authorizes awards to local education agencies for the planning, design of, and conduct of programs in magnet schools.

As with the discretionary programs, the three State-apportioned programs (Basic, Pilot, and Nonprofit Organizations), have unique sets of objectives. Basic Grants are awarded to eligible school districts to meet needs arising from the implementation of several kinds of desegregation plans. Basic Grants may be awarded to any LEA which (a) is implementing a required plan or has adopted and will implement a nonrequired plan if assistance is made available; or (b) has a plan to enroll non-resident children in its schools to reduce minority group isolation; or, (c) in the case of districts with minority group student enrollments exceeding 50 percent, is establishing or maintaining at least one integrated school. Nonprofit Organization grants provide funds to public or private nonprofit agencies, institutions, or organizations to carry out programs designed to support local education agency development or implementation of a desegregation plan.

Pilot Project grants are awarded to local education agencies for unusually promising projects designed to overcome the adverse effects of minority group isolation by improving the academic achievement of children in minority group isolated schools. To be eligible for a Pilot grant an LEA must have a plan which would make it eligible for a Basic Grant. In addition, at least 15,000 minority group students must be enrolled in the schools of the LEA or minority students must constitute more than 50 percent of the total LEA enrollment.

Program Operations

Sums annually appropriated pursuant to the Act for Basic, Pilot, and Nonprofit Organization grant categories are apportioned to States on the basis of the ratio of their number of minority group school-aged children to the number of such children in all States. Local school districts and nonprofit organizations compete for the funds apportioned to their respective States.

In applying for Basic and/or Pilot grants, local school districts must demonstrate that they have needs related to the Act's objectives and that they have designed a program based upon the Act's twelve authorized activities that shows promise in achieving one or more of the Act's objectives. Nonprofit organizations must demonstrate in their applications that they have designed programs which will effectively support local school districts' efforts to develop or implement a desegregation plan.

Applications for two of the discretionary grant programs -- Educational Television and Special Projects -- are made directly to the Office of Education in Washington; the Evaluation program operates with contracts under government procurement regulations; Bilingual and all other ESAA program applicants are submitted to HEW Regional Offices. (Beginning in FY 1978, all ESAA applications will be submitted directly to the Office of Education in Washington.) Each of the programs has its own unique set of funding criteria and award procedures which are specified by the Act and ESAA regulations.

Program Scope

Actual appropriations for the Program have ranged from $215 million in FY 1975 to $257.5 million in FY 1977. Since funds are annually appropriated for expenditures during the fiscal year succeeding the year of appropriation, the major thrust of the Act began during the 1973-74 school year.

Annual obligations and number of awards by subprogram and fiscal year are summarized below:

ESAA Obligations ($1,000) and Number of Awards by Fiscal Year (FY)

	FY 74		FY 75		FY 76	
Program	Oblig.	Awd.	Oblig.	Awd.	Oblig.	Awd.
Basic	155,845	568	135,386*	381	140,033*	468
Pilot	27,116	141	33,948	165	31,920*	179
Nonprofit	19,896	238	18,103	205	17,197	215
Bilingual	9,958	47	9,052	34	9,148*	32
ETV	6,890	8	7,794	8	8,466*	7
Spec. Projects	11,745	77	8,460	34	36,152	74
Evaluation	2,489	2	2,257	2	1,683	7
Total	233,931,081		215,000	829	244,599	982

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*Includes funds transferred from Special Projects discretionary account.

The resource allocation process for the FY 76 appropriation is summarized in more detail below:

FY 76 ESAA RESOURCE ALLOCATION

Program	Applicants	Awards	Oblig.	Avg. Award	No. of States Served
Basic*(1)	589	468	$140,032,618	$299,215	47
Pilot*(2)	251	179	31,920,088	178,325	36
Nonprofit	401	215	17,197,342	79,988	45
Bilingual*(3)	82	32	9,148,450	285,889	8
ETV*($)	51	7	8,465,870	1,209,410	7
Spec. Proj.**	108	74	36,151,990	488,540	34
Evaluation	23	7	1,682,973	240,424	3
Total	1,505	982	244,599,331	249,082	47 States (including D.C.) and 5 U.S. outlying jurisdictions

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*Includes discretionary program funds awarded under section 708(a) of the Act as special programs and projects in other ESAA program categories

(1) Basic Grants	$4,083,095
(2) Pilot Projects	171,872
(3) Bilingual Grants	548,450
(4) ETV Projects	2,015,870

(1) and (2): Does not include $1,547,061 in Basic Grant and $337,340 in Pilot Project funds held in contingency due to Cincinnati court case.

**Does not include $6,819,287 in discretionary program funds awarded under section 708(a) of the Act as special programs and projects in other ESAA program categories.

Program Effectiveness And Progress

Of the seven ESAA Programs, evaluations of program impact on student achievement have recently been completed for two — the Basic and Pilot Programs. The results from these two evaluations were generally that (a) the ESAA resource allocation process successfully dispensed funds to school districts with needy students with funds subsequently translated into appropriate student services, and (b) there was a significant program impact on students in the elementary grades participating in the Basic Program. These and other results from the national evaluation are detailed below. Regarding the other ESAA Programs, evaluations are in progress for the Nonprofit Organizations Program, the Educational Television Program, and the Magnet Schools program. Three overarching evaluations of aspects of the ESAA Program are currently underway.

Results from Evaluation of ESAA Basic And Pilot Programs. The major portion of the three-year national evaluation of the ESAA Basic and Pilot Programs was completed in May 1977, with the following results:

1. Resource Allocation and Services. As in Years One and Two, the Year Three data showed allocation of ESAA funds to districts with acute academic needs. There was also evidence that the recipient districts and schools translated their ESAA funds into services appropriate for their students, and focused those services most heavily on the students with the greatest academic needs. However, contrary to the earlier years' findings, there was no evidence that Basic Elementary schools with the greatest academic need received the most supplemental funding; in fact, sample schools with the highest average pretest scores tended to have the highest per-pupil supplemental expenditure levels. The Basic Secondary and Pilot Elementary samples showed a tendency for the most needy (lowest-scoring) schools to have higher supplemental funding levels, but those trends were not statistically significant.

2. Program Impact. Evidence of program impact was found in Year Three for the Basic Elementary sample, although not for the Basic Secondary or Pilot Elementary sample. That is, the Basic Elementary sample (students in the elementary grades participating in a Basic Grant program) showed statistically significant ESAA (treatment)/non-ESAA(control) differences, favoring the ESAA-funded schools, in student achievement gains. This important finding is consistent with the fact that only in the Basic Elementary sample did treatment schools have significantly higher total per-pupil expenditure levels than did their paired control schools. The finding of significant Basic Elementary program impact in Year Three, when no such significant impact was evident in Years One and Two, seems to have two explanations. First, there was apparently some increase in the treatment-control funding differential (favoring treatment schools) between Years Two and Three. Second, the greater evidence of program impact in Year Three may reflect program maturation effects. That is, by Year Three, the local ESAA projects may have completed most of their start-up activities, such as long-range planning, staff recruitment, and materials development: this may have freed them to concentrate more effort on activities of more immediate and direct benefit to the students, such as actual classroom instruction, and preparation and implementation of daily lesson plans.

There was no clear evidence of cumulative program impact (i.e., increasing treatment-group superiority in achievement) for students who had been in ESAA for all three years of the evaluation. In most cases, the control group started slightly higher (though in general not significantly so), and stayed slightly higher over successive test administrations, with little sign of any "catch-up" by the treatment group. One encouraging exception was in reading achievement for the Basic Elementary sample. Here, the gap between treatment and control schools was reduced between pretesting and posttesting in Year Three. Although this convergence trend was not statistically significant, it is consistent with the finding of ESAA program impact for the cross-sectional basic Elementary sample in Year Three.

3. Relationships Between Program Characteristics And Student Achievement. As part of the evaluation of ESAA Basic and Pilot Programs, a sample of elementary schools was studied in-depth in 1974-75 and another sample in 1975-76. Schools eligible to be selected for in-depth study consisted of all ESAA-funded and non-ESAA-funded (control) schools participating in the evaluation. The 1974-75 in-depth study sample was drawn from a total of 101 elementary schools, the 1975-76 sample was drawn from 78 elementary schools. Schools were ranked separately for reading and mathematics achievement; then, successful and non-successful schools were chosen from the top and bottom of the reading and mathematics rankings. Twenty-four elementary schools were selected for the 1974-75 study and 26 elementary schools for the 1975-76 study. The following results were obtained:

a. Organizational Climate. In-depth schools that succeeded in raising student achievement were characterized in 1975-76 by administrative leadership in instruction, confirming the major school organization finding of the 1974-75 in-depth study. Effective administrators felt strongly about instruction and assumed relatively more responsibility for instruction-related tasks as, for example, selecting basic instructional materials and planning and evaluating programs for the entire school.

b. Reading and Mathematics Instructional Practices. Students were significantly more likely to gain in reading and mathematics when: teachers introduced a lesson by placing it in the context of previously learned material; teachers praised and rewarded students frequently and were more favorable to restricting rewards to occasions when students made academic progress; teachers used behavioral objectives and attached importance to setting challenging goals; and, teachers emphasized behavioral objectives and individualized instruction.

c. School Resource Use And Resource Cost. A resource cost analysis indicated that there was no statistically significant relationship between academic performance and the level of resource use in reading and mathematics instruction within the 26 in-depth schools.

d. Equality Of Educational Opportunity. In schools placing greater emphasis on equality of educational opportunity, students were significantly more likely to interact without regard to race or ethnicity; minority students were significantly more likely to perceive teachers as treating them favorably; and, schools that placed greater emphasis on providing equality of educational opportunity were more successful in raising student achievement.

Ongoing Evaluation Studies

1. ESAA Basic and Pilot Programs

    a. Evaluation of the Emergency School Aid Act Basic Grant Program

    b. Evaluation of the Emergency School Aid Act Pilot Grant Program

    (Both evaluations focus on determining the effect on Student Achievement in Basic Skills of participating in an ESAA Basic Grant or Pilot Project Grant Program.
    Project completion date: March 1978)

2. Nonprofit Organizations Program

    Evaluation of the Emergency School Aid Act Nonprofit Organization Program

    (This project is designed to identify those factors which tend to optimize the effectiveness of ESAA nonprofit organizations and other community organizations in helping school desegregation proceed more smoothly. Project completion date: July 1978)

3. Educational Television

    a. A survey of home viewership of television series sponsored by ESAA legislation

    b. An assessment of the ESAA-TV program through an examination of its production, distribution, and financing.

    (The ESAA-TV program is a series of integrated children's television programs having cognitive and effective educational value. The first project is a survey of the user (student) audience — project completion date: November, 1977 — and, the second, an examination of the process by which the ESAA-TV programs are delivered to the user audience.)

4. Magnet School Program

    Evaluation of the ESAA Magnet School Program

    (This evaluation will examine the utility of Magnet Schools as a desegregation strategy. Project completion date: August 1978.)

5. Overarching Evaluations of ESAA

   a. A study of the effects of selected ESAA-supported activities on intergroup relations and basic skills.

      (The ESAA program supports a variety of activities, e.g., cultural enrichment, community involvement; this evaluation focuses on the effect of these activities on student intergroup relations and basic skills in integrated schools. Project completion date: September 1980.)

   b. A study of Federal technical and financial assistance programs related to desegregation: an overview

      (This study examines Federal programs assisting desegregation and the interrelationships among the programs. Project completion date: study is in design phase within OPBE.)

   c. An assessment of ESAA program operations

      (This study will provide an overview of the operations of the ESAA Program Office and the interaction between that office and State Educational Agencies and Local Educational Agencies in providing ESAA services in assisting school desegregation.)

Primary Sources of ESAA Evaluation Data

1. Coulson, J.E. and others. The first year of Emergency School Aid Act (ESAA) implementation: Preliminary analysis. System Development Corporation, September 15, 1975.

2. Ozenne, D.G. and others. Achievement test restandardization: Emergency School Aid Act national evaluation. System Development Corporation, November 1974.

3. Wellisch, J.B. and others. An in-depth study of Emergency School Aid Act (ESAA) schools: 1974-1975. System Development Corporation, July 1976.

4. Coulson, J.E. and others. The second year of Emergency School Aid (ESAA) implementation. System Development Corporation, July 1976.

5. Coulson, J.E. National evaluation of the Emergency School Aid Act (ESAA): Summary of the second-year studies. System Development Corporation, July 1976.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Training and Advisory Services (Civil Rights Act of 1964, Title IV)

Legislation:	Expiration Date:
Title IV of the Civil Rights Act of 1964 (P.L. 88-352), as amended by the Education Amendments of 1972, P.L. 92-318	indefinite

Funding History:

Year	Authorization	Appropriation
1969	indefinite	$ 9,250,000
1970		17,000,000
1971		16,000,000
1972		14,000,000
1973		21,700,000
1974		21,700,000
1975		26,700,000
1976		26,700,000
Transition Quarter		325,000
1977		34,700,000
1978		34,700,000 (requested)

Program Goals and Objectives

Title IV is designed to provide training and technical assistance related to problems incident to school desegregation. Desegregation is defined to include race, color, religion, sex, and national origin. Technical assistance is authorized "in the preparation, adoption, and implementation of plans for the desegregation of public schools." Technical assistance includes, among other activities, making information available regarding "effective methods of coping with special educational problems occasioned by desegregation." The law also provides for training of school personnel "to deal effectively with special educational problems occasioned by desegregation," and for grants to school boards for inservice training of school personnel and the employment of specialists in connection with desegregation. All of the above quotes are from the legislation.

Title IV assistance has been expanded to include assistance for problems highlighted in the Lau v. Nichols decision and problems incident to sex discrimination. In Lau, the U.S. Supreme Court ruled that affirmative steps must be taken by school districts for the effective participation in educational programs by students with language deficiencies resulting from environments in which the dominant language is other than English. Title IV was expanded by Title IX of the Education Amendments of 1972 (P.L. 92-318) to include sex desegregation.

Program Operation

Race and sex desegregation technical assistance are provided under four categories of Title IV awards: General Assistance Centers (GACs), State Education Agenices (SEAs), Training Institutes (TIs), and direct grants to Local Education Agencies (LEAs). In addition, there are three specialized types of awards: (1) specialized Training Institutes for sex desegregation, (2) specialized General Assistance Centers for Lau-related problems, and (3) separate awards to State Education Agencies for Lau-related problems.

Proposals (also called applications) are sent to the Office of Education Regional Offices where each is reviewed by Office of Education staff. Non-government panelists assign each application a total numerical score (consisting of points for specific criteria that are added to produce a total score). The Regional Office transmits the ratings with their recommendations to the Office of Education in Washington where the lists of applicants and ratings from all regions are combined and ranked in numerical order. Within each category, awards are made from the highest score down until funds are exhausted (except for overlapping proposals such as two competing applications for GACs to serve the same area).*

The purposes of monitoring of Title IV projects, according to an Office of Education manual, are: to determine whether projects are being adequately implemented, to determine whether projects are in continuous compliance, to determine a course of action for any identified problems, and to provide a resource for planning and evaluation.

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* There are three exceptions to this process of regional application reviews. Applications for Lau-related General Assistance Centers are not reviewed regionally but are sent directly to and reviewed in the Office of Education in Washington. In FY 1977, in order to improve consistency in the rating of applications for Training Institutes and direct LEA awards, these proposals were brought by each Regional Office to a central location for review.

Program Scope

The following table presents data on Fiscal Year 1976 Title IV awards.

DATA ON TITLE IV AWARDS MADE IN FISCAL YEAR 1976*

Category	Total Applications (1)	Total Awards (2)	Amount Awarded (thousands) (3)	Average Award (thousands) (4)
GAC-Race and Sex	27	27	$11,100	$411
SEA-Race and Sex	44	44	5,446	124
LEAs-Race and Sex	102	46	2,149	47
Training Institutes				
Race and Sex	70	16	2,146	134
Sex desegregation	20	11	1,109	101
GAC-Lau	9	9	3,750	417
SEA-Lau	17	17	1,325	78
TOTAL	289	170	$27,025	$ 159

* Includes Transition Quarter

The first two columns show that there was great variation in competition for Title IV awards. There was substantial competition for Race and Sex Training Institute, LEA, and Sex Desegregation Training Institute awards. All SEA applicants (for both Race-Sex and Lau awards) received awards. Existing General Assistance Center (both Race-Sex and Lau) contracts were extended for one year without a new competitive procurement. This was the first extension of these awards.

The last column shows that the average Title IV award was for approximately $159,000, with the average ranging from $47,000 for LEA grants to $417,000 for Lau GACs. A great deal of this variation is due to the amount of services and geographic area covered.

Only rough estimates of the relative allocations of funds to race, sex, and Lau-related assistance are available. The Title IV evaluation estimates that 26 percent of the GAC budgets are allocated to sex discrimination. An estimated 33 percent of SEA budgets and 42 percent of Race and Sex Training Institute budgets are allocated to sex discrimination assistance. All funds for specialized Sex Desegregation Training Institutes are used for sex discrimination assistance. No data on the relative allocation of resources to race and sex discrimination are available for direct grants to LEAs. An overall estimate is that roughly 54 percent of Title IV funds were allocated to race desegregation, 27 percent to sex discrimination, and 19 percent to Lau-related assistance.

Program Effectiveness and Progress

A recent evaluation, Title IV of the Civil Rights Act of 1964: A Review of Program Operations, concludes that the major strength of the present Title IV program is that it permits assistance to school districts in varying stages of desegregation. A major need identified in the report by the Rand Corporation is for the Office of Education to provide more explicit Federal substance to the program. The report also stated that Title IV lacks explicit goals and that it is too small a program to tolerate the burden of virtually an unrestricted mandate to serve the largest number of school districts in the largest number of ways. Another need identified is for the Office of Education to provide a clear definition of desegregation-related assistance--the policy goal of the Title IV legislation. The report suggests that as long as there is no intervention by USOE in the rulings of its differently-intentioned regional offices, we can expect that the present system will define practically every education-related activity as also being desegregated-related.

The study of Title IV assistance for racial desegregation is primarily based upon an analysis of mail questionniares from 140 Title IV projects and site visits conducted at 40 projects and 74 school districts served by these Title IV projects.

GACs often undertake complex activities such as developing new instructional techniques, training in the use of new methods and materials, developing curricula, helping districts assess needs and developing techniques for school-community interaction. More than any of the other types of Title IV projects, GACs have to function as organizations capable of delivering a wide range of training and technical assistance services to a large number of school districts. Given these complexities, it is not surprising that the statistical analysis found that several organizational characteriistics were strongly related to the effectiveness of GACs but not the other types of Title IV projects. (Project effectiveness was measured with a series of rating scales completed by interviewers after they conducted site visits at the project and school districts served by the project. Ratings were made of the effectiveness or impact of a project on the policies, programs, personnel, institutional structure, and training aspects of the districts served by the project. Effectiveness ratings were correlated with other characteristics of projects (in this case, organizational characteristics) separately for GACs and the other categories of Title IV projects). Favorable GAC organizational characteristics include having a well-specified plan of project organization containing explicit schedules and milestones and a clear description of staff responsibilities. GACs with such detailed organization plans seemed better able not only to articulate but also to pursue specific desegregation-related goals.

The more effective GACs visited had a clear conception of the assistance process and were selective in choosing districts where they could anticipate a favorable impact in contrast with other GACs which attempted to provide substantial services to all districts requesting assitance. Also the evaluation found that GACs which did not operate independently from the institution in which they were affiliated (usually a college or university) undertook fewer desegregation-related activities and were less effective.

SEA Title IV units often help school districts write proposals for obtaining additional funds, develop and disseminate materials, interpret federal desegregation guidelines, and obtain statistical information to assist in identifying desegregation problems. SEAs also conduct the training and technical assistance activities listed earlier for GACs but do so less often than GACs. The evaluation found that SEA projects were generally effective in conducting activities related to information dissemination (including minority job recruitment). More complex SEA technical assistance activities were effective only in States where there is a commitment by the State to school desegregation both in terms of a clear State policy and specific goals and objectives for its enforcement. Two of the thirteen Title IV SEA units visited had such an operational commitment to desegregation and those were judged as the most effective by all measures of effectiveness that were used.

Training Institutes (TIs) tend to provide specialized activities relating to the training of school personnel. TIs essentially structure themselves to meet specific district needs. TIs can be effective if the district has a favorable desegregation environment but have no leverage and are not effective in less amenable districts.

Similarly, the success of direct grants to LEAs for advisory specialists to assist in school desegregation is dependent upon a favorable desegregation environment within the district. Without such a commitment the advisory specialist lacks influence to deal with desegregation issues.

Several problems were identified based upon visits conducted at seven of the ten USOE regional offices. First, gaps in procedures for standardizing the selection and training of panelists who review proposals for Title IV awards create management problems. Second, the lack of knowledge of the Title IV program shown by some panelists also suggests the need for testing panelists as part of the training process. Third, the exclusion of the judgments of regional office staff about the effectiveness of ongoing projects significantly weakens the proposal review process.

A follow-up study, Title IV of the Civil Rights Act of 1964: Expansion of Program Responsibilities, was conducted under the same contract to examine the impact of the addition of sex discrimination responsibilities upon Title IV projects. There was widespread concern that one type of service (either race desegregation or sex discrimination) might overwhelm the other. The follow-up study, using a methodology similar to the original study, suggests that those concerns are unfounded, at least at this time.

There could be problems in the future related to the relatively lower levels of GAC activities dealing with sex discrimination. SEAs seem to be dealing effectively with sex discrimination issues, which consists largely of providing technical assistance to help school districts respond to requirements under the Title IX regulations. If the demand for this service lessens and the demand for long range assistance and training services increases, there would be need for greater GAC assistance. The latter activities are well-suited to GACs and not to SEAs.

Training Institutes specializing in sex discrimination experienced more difficulties than other types of Title IV projects. This is probably partly due to start-up problems of finding and training staff in a relatively new field. Also, the fact that all directors of TIs specializing in sex discrimination and much of the staff are female may mean that they do not have the appropriate district administrative contacts. Greater use of the district Title IX coordinator--who is often female--as a contact person is recommended.

Ongoing and Planned Evaluation Studies

As a part of an ongoing field study of the activities of ESEA Title VII Bilingual Education Centers (Materials Development, Teacher Training, Resource Centers, and Dissemination/Assessment Centers), selected Lau General Assistance Centers are being studied in order to assess their functions and determine the extent of their relationships with the Title VII Centers. The final report for this study, conducted by Development Associates, Inc., of Washington, D.C., will be available in June 1978.

Sources of Evaluation Data:

1. Stephen Crocker, et. al., Title IV of the Civil Rights Act of 1964: Executive Summary, Santa Monica, California: The Rand Corporation, 1976.

2. Stephen Crocker, et. al., Title IV of the Civil Rights Act of 1964: A Review of Program Operations, Santa Monica, California: The Rand Corporation, 1976.

3. Niki King, et. al., Title IV of the Civil Rights Act of 1964: Expansion of Program Responsibilities, Santa Monica, California: The Rand Corporation, 1977.

4. Race Relations Information Center, Title IV of the 1964 Civil Rights Act: A Program in Search of a Policy, Nashville, Tenn., 1970.

5. U.S. Commission on Civil Rights, Title IV and School Desegregation: A Study of a Neglected Federal Program, Washington, D.C.: U.S. Government Printing Office, 1973.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Packaging and Dissemination

Legislation:	Expiration Date:
Special Projects Act, Section 402, P.L. 93-380	June 30, 1978

Funding History:	Year	Authorization	Appropriation
	1975	1)	$ 1,400,000.
	1976	1)	1,400,000.
	1977	2)	10,000,000.
	1978	2)	10,000,000.

Program Goals and Objectives:

The purpose of the Special Projects Act is: (1) to experiment with new educational and administrative methods, techniques, and practices; (2) to meet special or unique educational needs or problems; and (3) to place special emphasis on national education priorities. To fulfill this purpose, the Commissioner is authorized to make contracts with public and private agencies, organizations, associations, institutions and with individuals.

A variety of sub-programs are authorized by the Special Projects Act; some are legislatively mandated and some may be established at the discretion of the Commissioner of Education. The Packaging and Dissemination Program falls into the second category. Its purpose is to improve the quality of education by promoting the widespread dissemination and use of successful or exemplary educational practices and projects which were developed with the support of Federal educational funds and which have been certified as effective. The major objectives of the Program are:

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1) This program was formerly called the Packaging and Field Testing Program. In 1975 it was under the authority of the Cooperative Research Act, P.L. 531. It is currently under the authority of the Special Projects Act of P.L. 93-380 and does not have a separate authorization.

2) The National Diffusion Network, established in 1974 under the authority of ESEA, Title III, was added to the Packaging and Dissemination Program in 1977.

(1) to disseminate exemplary educational practices and projects to interested school districts through the provision of materials and personal assistance;

(2) to study alternative dissemination procedures and techniques in order to improve the way in which school districts learn about and implement exemplary projects; and

(3) to provide training and assistance in the dissemination skills required to encourage and assist interested school districts in the selection and implementation of an appropriate exemplary project.

Program Operations:

Three complementary activities, which contribute to the common objective of encouraging the dissemination and implementation of exemplary practices, are funded by the program: packaging activities, dissemination activities and evaluations and studies of the dissemination process. The purpose of the packaging component of the program is to prepare descriptive materials that support the successful implementation of exemplary projects in new communities. (A project may qualify as exemplary if it was developed with the support of Federal education funds, and if it has been approved by the Joint Dissemination Review Panel, a NIE-OE committee of experts who review evidence of the effectiveness of potential exemplary projects.) Two types of packaging activities are currently supported. In one type, school districts that have developed an exemplary project prepare materials of their own to assist other interested communities in the implementation of that project. In addition, OE has funded independent contractors to develop descriptive materials about some exemplary projects. To date, the materials developed in this way are called Project Information Packages (PIPs). Each package provides a comprehensive description of the key management and instructional elements of a particular exemplary project and is designed to minimize the need for additional technical assistance during implementation.

The dissemination component of the program has two purposes: to make officials aware of exemplary projects, and to provide personal assistance in the selection and implementation of such projects in new communities. These purposes are accomplished primarily through the activities of the National Diffusion Network, a national delivery system designed to assist in the spread of exemplary projects. Through competitive procurement procedures, the Network provides contracts to local developers (called Developer-Demonstrators) who operate their projects as demonstrations and who are funded to provide materials, training and assistance to school districts that want to adopt their projects. In addition, individuals (called State Facilitators) are funded as dissemination agents to make school districts in their States aware of alternative exemplary approaches and to help interested districts identify and obtain assistance from project developers in implementing a project to meet specific local needs. The Network is responsible for the dissemination of all projects approved by the Dissemination Review Panel, including PIPs. However, during the school year 1976-77, when Network funding was temporarily interrupted, eight contractors (called Diffusion Contractors) were funded to disseminate the packaged projects nationwide until Network funding was restored.

In FY 77, the dissemination program added a support service element. Independent contractors were funded for two purposes: to provide assistance to network participants (State Facilitators, Developer-Demonstrators, other projects that have obtained Dissemination Review Panel approval, and OE) in the development of appropriate descriptive materials about exemplary projects, and to provide training to network participants and staff of dissemination offices within State agencies in the skills necessary to successfully disseminate exemplary projects to new communities.

In the evaluation component of the program, studies are conducted of all packaging and dissemination activities. The purpose of these studies, designed by OE and conducted by independent contractors, is to learn from, improve upon, and provide alternatives to current program strategies.

Program Scope:

To date, three sets of Project Information Packages have been developed. The first set, describing six exemplary compensatory education projects, were developed in FY 74, field tested, evaluated and revised in FY 75 and FY 76, disseminated nationwide by eight Diffusion Contractors in school year 1976-77, and are currently being disseminated by the National Diffusion Network. A second set of six compensatory education packages was developed during 1975-76, and is now also being disseminated by the Network. In addition, the same year, a third set of four bilingual packages was developed. With support from Title VII of ESEA, these are being field tested in 20 school districts during school years 1977-78 and 1978-79.

A total of 186 projects (including those that have been packaged) are now available for dissemination by the Network (i.e., have been approved by the Joint Dissemination Review Panel). These are distributed among program areas approximately as follows:

	% of Projects
Alternative Schools	6
Bilingual/Migrant Education	5
Career/Vocational Education	6
Early Childhood/Parent Readiness	17
Environmental Education	4
Organizational Arrangements/Training/Administration	10
Reading/Language Arts/Math	29
Special Education/Gifted/Learning Disabilities	7
Special Interests: Arts, Communication Skills, Technology	3
" " Health, Human Behavior, Physical Education, Multiple Talent Development	3

Late in FY 77, a number of awards were made to continue the National Diffusion Network, increasing from 36 to 48 the number of States and territories with funded State Facilitators. During school year 1977-78, there will be a total of 61 Facilitators providing assistance in the dissemination of exemplary projects. A total of 72 Developer-Demonstrators were also funded (up from 54 in 1975-76), representing 80 exemplary projects.[1] Each community whose exemplary compensatory education project is now represented by a PIP has been funded to disseminate the PIP via the Network. In addition, two contracts were awarded to provide assistance in preparing materials for dissemination and in dissemination-related skills.

Two evaluation studies were completed during FY 77: a study of the field test of the first series of six Project Information Packages, and an evaluation of the National Diffusion Network. Two additional studies have been initiated: in FY 76, a two year study of the dissemination and implementation of the first series of packages was begun and in FY 77, a two year study was funded to evaluate the effectiveness of the bilingual packages and to prepare revisions as needed.

Program Effectiveness and Progress:

Recent evidence indicates that the Packaging and Dissemination Program has been successful in obtaining a number of adoptions of exemplary projects across the country, and that there is substantial educator interest in the types of services being provided by the program. The demand for Network services is great, and over 2,000 adoptions of exemplary projects in new communities have occurred. Many of these are reasonably faithful replications of the original project, although some adaptation to local conditions has usually been necessary. In addition, there appears to be considerable user satisfaction with the adopted projects. However, very little evidence is available concerning whether such adoptions have resulted in improved learning in the new communities. Each of these issues is discussed in greater detail in the following paragraphs.

Extent of Adoptions:

Of Project Information Packages. Because of the interruption of Network funding, attempts to disseminate the PIPs have been limited to the efforts of the eight Diffusion Contractors funded during 1976-77. Nevertheless, approximately 140 adoptions of the first series of packaged projects have been reported to date. (Note that the second series of packaged projects is being disseminated for the first time in 1977-78.) The 140 adoptions include nine LEAs who began implementing a packaged project for the first time in the school year 1976-77. The remaining adoptions[2] represent LEAs who will be implementing a packaged project for the first time in the school year 1977-78. In addition, 11 of the 19 LEAs who participated in the field test chose to continue the project with local funds when the field test was over.

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[1] Some Developer-Demonstrators are regional resource centers who are responsible for more than one exemplary project.

[2] Some potential adoptions were contingent upon the availability of funds, which was unknown at the time this report was prepared.

Of All Other Exemplary Projects. A recently completed evaluation of the Network (Emrick, 1977) reports that in its first two years of funding, the Network secured over 2,000 adoptions. In addition, the demand for Network services exceeded the capacity of Facilitators and Developers to provide them, resulting in the denial of services to some interested LEAs. The study indicated that one of the most important factors in securing adoptions was that an interested LEA receive some form of personal assistance from the Developer-Demonstrator.

Most adopters of exemplary projects are rural or suburban school districts; less than 20 percent of adoptions are within urban school districts. Most adopters implement their project in several classrooms within a single school; 30 percent of adoptions occur in several schools within the district. Also, most adoptions occur at the preschool or elementary level, reflecting the fact that most exemplary projects are either preschool or elementary.

Fidelity of Project Adoptions:

The evaluation of the PIP field test (Stearns, 1977) found that, with very little outside assistance, nearly all of the field test communities were able to implement the management and organizational aspects of the packaged projects. However, personal contact was desired by try-out sites for support and reassurance and, if not discouraged from seeking personal assistance, as they were in the field test, districts implementing these projects would naturally do so. By the end of the field test, the instructional programs had been well implemented in more than half of the projects. Some of the original project packages did not contain sufficient curricular information to enable teachers to adequately implement the curriculum. This component of the pacages has been considerably strengthened in the revised packages now being disseminated. The Network evaluation also reported that project adoptions were reasonably faithful to developer specifications. However, both studies indicated that some amount of adaptation to local circumstances was required during implementation.

Both studies found that well implemented projects were characterized by strong local project leadership and administrative support within the school system. In addition, the Network evaluation indicated that well implemented projects were those for which fairly complete materials packages had been prepared.

User Satisfaction:

For both PIPs and other Network adoptions, user satisfaction with services and materials was reported to be high. The continuation of 11 of the 19 field test projects after the field test (and financial support) ended provides some indication of this satisfaction.

Effectiveness:

The PIP field test evaluation included an analysis of the impact of the projects on the achievement growth of participating students. To determine this impact, the average performance of children in PIP projects was compared to two standards: the expected achievement growth for disadvantaged children,* and a somewhat higher standard** that was frequently achieved at the originating site. The study found that, although in most projects students achieved the expected achievement growth for disadvantaged children, the higher standard was not achieved. No information regarding project impact on student achievement is currently available from adopters of other exemplary projects.

Program Changes:

As a result of OE's experience and findings to date, the following changes in the Packaging and Dissemination Program have occurred:

- A manual on how to go about packaging for dissemination of an exemplary project was developed for use by Network Developers, based heavily upon the packaging effort of this program.
- A contract was awarded to provide technical assistance to Network Developers in packaged materials production.
- A contract was awarded to provide training to OE dissemination contractors in various skills required by a dissemination agent.
- Steps have been taken to disseminate the Project Information Packages via the National Diffusion Network.
- The two OE efforts--the Network and Packaging--have been combined into one program effort in FY 1977.
- A number of studies exploring issues in need of resolution are underway or being planned.

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* The achievement growth expectation was defined as the amount of achievement associated with project students maintaining the same percentile rank from pre to post testing. This expectation is determined from test norms, in this case the Metropolitan Achievement Test.

** This more stringent criterion was defined as gains that were equal to or greater than one-third standard deviation above the equal percentile growth expectation. Such gains were achieved at the originating sites in some classrooms, in some years, on some tests.

Ongoing and Planned Evaluation Studies:

1. Evaluation of the Dissemination/Implementation of the Revised Project Information Packages - First Series

This study examines the dissemination and implementation of the six revised Project Information Packages which are currently being disseminated. The study is concerned with two aspects of the dissemination program: the effectiveness of the overall dissemination strategy and the effectiveness of the resulting implementation in local communities. The study, being conducted by American Institutes for Research, began in the summer of 1976 and will be completed in December, 1978.

2. Field Test and Revision of Four Bilingual Education Project Information Packages

The purpose of this study is to provide critical information on the problems in the actual installation of the projects via the bilingual Project Information Packages in order to revise them prior to their national dissemination. The field test will occur during the 1977-78 and 1978-79 school years. During the second year, the packages will be revised according to results from the previous year of the study. The study, which is being conducted by RMC Research Corp., will begin in July 1977 and end in August 1979.

3. Synthesis of Findings of Dissemination Studies

This study will examine the results of a number of recently completed investigations of dissemination related activities in order to (1) synthesize the findings, (2) address various policy relevant issues with which OE is faced, and (3) recommend alternative dissemination strategies. It is expected to begin January 1978 and be completed August 1978.

4. Study of the Status of Dissemination in the States

The purpose of this study is to examine the dissemination activities, programs and plans operating at the State level in order to better direct OE's dissemination activities. The study is expected to begin in April 1978 and be completed in December 1979.

5. Evaluation of the National Diffusion Network

This study would continue to examine the National Diffusion Network and provide a better understanding of issues of Network impact on State dissemination, variations in patterns of material and personal assistance, and the impact of adopted projects on student achievement. The study is expected to begin in April 1978 and be completed in February 1980.

Addendum: Federal Programs Supporting Change

Numerous research findings have raised questions about the effectiveness of educational innovations, their transferability, and the usefulness of federal efforts to promote innovation in the schools. In light of these findings and USOE's interest in improving program effectiveness and the dissemination of exemplary approaches, a contract was awarded to the Rand Corporation in June 1973 to examine these four federal change agent programs and focus on the following questions:

- How are federally supported innovations in local educational practices introduced and implemented?
- How are these innovations sustained and spread after the end federal funding?
- What factors in federal policy, in the nature of the change agent projects, and in the local institutional setting determine the outcome of innovations and their chances of being sustained and spread?

The study examined a variety of types of projects supported by four change agent programs: Title III, Right-to-Read, Vocational Education, Part D and ESEA Title VII, Bilingual Education.

The overall findings can be stated quite simply. Federal change agent policies had a major effect in stimulating LEAs to undertake projects that were generally consistent with federal categorical guidelines. This local response resulted from the availability of federal funds and, in some programs, from guidelines that encouraged specific educational practices. But the initiation of innovative projects did not insure successful implementation; moreover, successful implementation did not guarantee long-run continuation. Neither those policies unique to each federal program nor those policies common to them strongly influenced the fate of the innovations. In sum, the net return to the federal investment was the initiation of many innovations, the successful implementation of few, and the long-run continuation of still fewer (with the exception of the special case of bilingual projects, where federal and state funding continues to be available).

Specifically, federal policies did not strongly influence project implementation. Although they were noticable effects that reflected the guidelines and management strategies of the different federal programs, differences between the federal programs explained little of the difference in project outcomes. All the programs funded successfully implemented projects as well as dismal failures and many projects in between. The difference between success and failure depended primarily on how school districts implemented their projects, not on the type of federal sponsorship. The guidelines and management strategies of the federal change agent programs were simply overshadowed by local concerns and characteristics.

The dominance of local factors can also be seen in the lack of effects of a main policy instrument of these "seed" money programs--namely, the amount of the seed. The projects examined varied considerably in their level of funding, from ten to several hundred thousand dollars per year. The larger grants tended, not surprisingly, to be awarded to larger districts, to fund projects in a greater number of schools, or to fund projects that spent more money per student. The larger grants also tended to support educational methods that focused on individualization techniques. In this case, federal funds typically were used to hire the teacher aides necessary to individualizing classroom activities.

By and large, however, more expensive projects were no more likely than less expensive ones to be implemented effectively or lead to teacher change. "More" money did not necessarily purchase those things that mattered; it did not "buy," for example, more committed teachers, more effective project directors, more concerned principals, and so on. In other words, project outcomes reflected not the amount of funds, but what the local staff did with them.

This is not to say that "federal money doesn't matter." Federal seed money allowed some districts to undertake activities that their staff were anxious to pursue but that could not be supported out of district funds. For example, Title III funds have been used to expand the refined teacher-initiated pilot projects for more general use in district operations. Federal grants have also served as "start-up" funds for new teaching practices, many of which require substantial initial investment in hardware or staff development. In short, many local projects would not have gotten off the ground without federal money. Federal funding has bestowed legitimacy on local projects and given them the aura of "special status," which can serve at least two functions: one, extra effort and enthusiasm promoted by a "Hawthorne effect" and two, some measure of "protection" for politically controversial or pedagogically untested educational practices.

Yet the record of the way school districts used federal grants is spotty. Many projects were started simply for the purpose of receiving federal largesse without any real intention to deal with central, or even not so central, local problems. The result of this behavior, which the study called opportunism,* was predictable: opportunistic projects were poorly implemented and disappeared with the last federal check.

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* The term is used to describe behavior whose sole purpose was to bring federal money into the district, regardless of federal intentions and usually regardless of the interests of the staff, or the educational needs of the district.

Projects taken seriously by district officials and school staff generally avoided the non-implementation typical of opportunistic projects. Local choices and characteristics determined how effectively serious projects were implemented. But even effective implementation did not always mean that the longer term federal objective of promoting stable change in local practices was achieved. At the end of federal funding, district officials must make a decision concerning the continuation of the change agent project. This decision was not made primarily on the basis of the project's educational success during the period of special funding as a "seed money" model assumes. Instead, organizational and political factors moderated and determined the district's commitment to continue change agent projects, even if the project had demonstrated its value.

Moreover, few districts planned for the long-term stability of projects. The end of federal funding generally resulted in a reduction of resources for most projects, particularly expensive ones. For example, innovations that had used soft money to reduce the student-to-adult ratio (e.g., by hiring aides) were cut back to live within the district budget. Many districts complained of insufficient resources to carry on project activities and to make necessary replacements of project staff. But financial difficulties involved questions of budgetary allocations that could have been foreseen and planned for from the project's inception. Instead, budget and personnel decisions typically perpetuated the "special project" status of innovations and left them vulnerable to the financial and political fortunes of the district.

Thus, few districts adequately prepared themselves for sustaining or spreading the changes resulting from even successfully implemented projects. This created an anomolous situation. Except for opportunistic or peripheral projects that essentially were not implemented, the methods or materials of most innovations were still being used to some extent by teachers two years after the end of federal funding; yet, in most cases, the project's continued use in the classroom was not matched by permanent changes in district procedures in budgetary, personnel, staff support, and instructional areas that would be required to maintain classroom practices. The prognosis for the continued existence of these projects (or what might be called the project's institutionalization) was poor. In most cases, the innovations funded by federal "seed money" had not taken root.

This assessment of federal change agent policy may be disappointing, but here only part of the story has been told. Each federal program had broad concerns related to, yet distinctly different from the educational success and continuation of their projects. For example, many federal, congressional and local activists viewed Title VII as a vehicle for establishing bilingual education as a significant priority in local, state, and federal planning. Title VII clearly has successfully contributed to this goal, despite the serious difficulties of implementing specific bilingual innovations. Others must judge whether these programs have fulfilled their broader, often implicit, agenda for such assessments are beyond the scope of this research.

Nonetheless, the findings cast serious doubt on the efficacy of the policy instrument of providing seed money to promote educational reform. It does stimulate school districts to initiate innovations. But it assures neither successful implementation nor long-run continuation, because these difficult and uncertain processes depend on the characteristics of school districts and the choices made by them. The prospects for more effective policy would seem to lie in understanding these local processes, the factors within and outside of the district that affect them, and in formulating federal policies that pay more attention to the local implementation process.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Assistance to States for State Equalization Plans

Legislation:	Expiration Date:
Section 842 of Title VII of the Educational Amendments of 1974 (P.L. 93-380)	September 30, 1978

Funding History:	Year	Authorization*	Appropriation
	1976		$ 0
	Transition Quarter		$ 3,000,000
	1977		$ 10,500,000

Program Goals and Objectives:

The program set up by Section 842 has two major purposes: (1) to reward those States which have enacted equitable and fair systems of school finance by offering reimbursement retroactively for expenditures associated with developing or administering the school finance equalization plans and (2) to encourage States which have not acted to reform their school support plans. Equitable and fair systems of school finance are defined by the guidelines in the regulations and are summarized below. Section 842 authorizes funds to reimburse States for costs incurred in the development or administration of a plan for equalization of State and local school finance programs. Such plans must be consistent with the provisions of the Fourteenth Amendment and have as their primary purpose achievement of equality of opportunity for all children enrolled in schools in the State's local educational agencies.

Program Operations:

States are required to submit two documents to the Commissioner to apply for funds provided under the law. The States must submit either a developed plan of State aid or a proposal to develop such a plan. The second document which States must submit is an application for reimbursement. While States are encouraged to submit such an application along with their plan or proposal, they are not restricted to submission of one such application but may submit multiple claims until the total amount of their entitlement has been awarded. According to program regulations the State plan to equalize expenditures is intended to be a "detailed description of the State's policies, programs, and operating procedures relating to the State's program of financial assistance to local educational agencies in that State." The State plan is further expected to meet certain guidelines as set up in the regulations associated with the law. While no State plan is required to meet all guidelines, a State plan must not reject the principles as characterized by the guidelines.

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*Section 842 contains no appropriation authorization as such. However, Congress has taken the position that the language of the Act constitutes an obligation for the Federal Government to reimburse States for approved costs and has appropriated the amounts as indicated.

The guidelines set forth for the purpose of constructing a State financial plan to equalize educational opportunity within the State suggest that:

(1) the plan allow expenditures per pupil to vary with varying costs of the educational needs of pupils, varying costs of educational programs (e.g., special, vocational, or bilingual programs), varying capital and transportation costs;

(2) the plan not allow the wealth or the measurement of the wealth of local educational agencies to influence the resources expended by such agencies and the plan be financed by an equitable tax system;

(3) the plan encourage citizen interest in educational decision-making, encourage efficient allocation of educational resources and provide a means of evaluating its own progress.

If a State does not submit a plan but instead submits a proposal to develop a plan, the proposal is expected to address itself to the guidelines outlined above. As an example, studies described in the proposal should recognize weaknesses of the State's current financial system in meeting the guidelines if such weaknesses or violations of the guidelines exist. After the proposal has been funded, the State remains obligated to submit the developed plan to the Commissioner for approval or disapproval.

Before submitting the application for reimbursement to the Commissioner, the State agency must have solicited views of the financial plan from the State's Governor, local educational agencies, and other interested parties.

Once the State plan (or proposal) and application for reimbursement have been approved, the Commissioner determines the allocation of funds to be made. According to the rules and regulations, "The entitlement of each State shall be determined on the basis of a straight-line formula, such that the entitlement of the most populous State shall be $1,000,000, the entitlement of the least populous State shall be $100,000 and the entitlement of each other State shall fall between these amounts based on the ratio of that State's population to the population of the Nation as a whole." These entitlements are not annual entitlements but rather entitlements associated with the program which expires on September 30, 1978.

Program Scope:

As of December 12, 1977, 46 States had submitted applications for reimbursement under Section 842 with awards totaling $12,704,513. Table I indicates the status of the States with regard to the equalization. The table indicates that only 11 States have submitted previously developed plans. Seventy percent of the States have submitted proposals to develop a plan of equalization while 8 percent have not yet submitted a proposal or a plan and hence have not requested funds under this program. Table II gives the entitlement, the amount of funds requested, the amount of funds awarded and the amount of remaining funds in the entitlement for each State.

The recipients of these funds are the SEAs or some other properly authorized State agency. The funds are used to reimburse States retroactively for costs incurred by those States which have developed and enacted equitable systems of school finance and to reimburse States for costs associated with the development of equitable plans when those plans have not yet been developed.

Program Effectiveness and Progress:

As can be seen from Table II, all but four States have made application for reimbursement. The vast majority of such States have submitted proposals to develop a plan rather than submitting a plan itself. Section 842 legislation and associated regulations may have stimulated States to begin to formulate State financial aid plans comprising conscious attempts to provide more equitable educational opportunity. As of December 12, 1977, implementation of plans have occurred only among those States which received retroactive cost reimbursements for developed plans. Among those States only Rhode Island's plan has not been implemented and this was because it did not pass the State legislature. The other States with developed plans have had their plans essentially fully funded.

Ongoing and Planned Evaluation Studies:

There are no ongoing evaluation studies. Planned evaluation studies are still in the formative stage but may take either or both of the following directions:

(1) a study to determine the extent of equalization achieved by the States which obtained reimbursement funds;

(2) a study to determine the extent to which the legislation provided the stimulus to States to develop State financial aid plans to obtain equity in educational opportunity.

Source of Evaluation Data

State applications for reimbursement
Summary table from the School Finance Unit, Bureau of Elementary and Secondary Education, USOE. (September 16, 1977)

SECTION 842 - Table I

Status of State Submissions as of December 12, 1977

	Plan has been submitted for Reimbursement of Expenditures		Proposal to develop a plan has been submitted		No plan or proposal to develop a plan has been submitted to date
STATE	approved	not yet approved	approved	not yet approved	
Alabama			x		
Alaska			x		
Arizona			x		
Arkansas			x		
California			x		
Colorado			x		
Connecticut			x		
Delaware			x		
Florida	x				
Georgia			x		
Hawaii	x				
Idaho			x		
Illinois			x		
Indiana			x		
Iowa			x		
Kansas	x				
Kentucky			x		
Louisiana			x		
Maine	x				
Maryland			x		
Massachusetts			x		
Michigan	x				
Minnesota			x		
Mississippi			x		
Missouri			x		
Montana			x		
Nebraska			x		
Nevada					x
New Hampshire					x
New Jersey	x*				
New Mexico	x				
New York			x		
North Carolina			x		
North Dakota			x		
Ohio			x		

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*reimbursement was for the implementation of the plan rather than the cost of developing the plan.

SECTION 842 - (Table I Continued)

	Plan has been submitted for Reimbursement of Expenditures		Proposal to develop a plan has been submitted		No plan or proposal to develop a plan has been submitted to date
STATE	approved	not yet approved	approved	not yet approved	
Oklahoma			x		
Oregon			x		
Pennsylvania			x		
Rhode Island	x				
South Carolina	x				
South Dakota			x		
Tennessee			x		
Texas			x		
Utah	x				
Vermont			x		
Virginia					x
Washington			x		
West Virginia					x
Wisconsin	x				
Wyoming			x		
Total	11		35		4

Table II

Entitlements, Requests, and Awards as of December 12, 1977

State	Entitlement	Amount Requested	Amount Awarded	Amount of Remaining Entitlement
Alabama	241,739	241,739	241,739	-0-
Alaska	100,000	100,000	100,000	-0-
Arizona	179,723	179,723	179,723	-0-
Arkansas	175,690	175,100	175,100	590
California	1,000,000	1,000,000	1,000,000	-0-
Colorado	195,281	195,275	195,275	6
Connecticut	220,307	220,307	220,307	-0-
Delaware	110,344	110,344	110,344	-0-
Florida	440,015	440,015	440,015	-0-
Georgia	298,802	298,802	298,802	-0-
Hawaii	122,484	122,484	122,484	-0-
Idaho	119,942	119,942	119,942	-0-
Illinois	574,171	574,171	574,171	-0-
Indiana	317,911	317,911	317,911	-0-
Iowa	210,270	210,270	210,270	-0-
Kansas	184,368	184,368	184,368	-0-
Kentucky	232,053	232,053	232,053	-0-
Louisiana	249,934	249,934	249,934	-0-
Maine	131,030	131,030	131,030	-0-
Maryland	264,266	264,266	264,266	-0-
Massachusetts	339,211	339,211	339,211	-0-
Michigan	484,631	484,631	484,631	-0-
Minnesota	256,203	256,203	256,203	-0-
Mississippi	187,349	187,349	187,349	-0-
Missouri	294,200	208,460	208,460	85,740
Montana	117,356	117,016	117,016	340
Nebraska	152,593	152,593	152,593	-0-
Nevada	110,212	-0-	-0-	110,212
New Hampshire	120,468	-0-	-0-	120,468
New Hampshire	405,961	405,961	405,961	-0-
New Mexico	134,098	134,098	134,098	-0-
New York	878,379	878,379	878,379	-0-
North Carolina	320,628	320,628	320,628	-0-
North Dakota	112,929	112,929	112,929	-0-
Ohio	555,983	555,983	555,983	-0-

Table II (Continued)

State	Entitlement	Amount Requested	Amount Awarded	Amount of Remaining Entitlement
Oklahoma	202,557	202,557	202,557	-0-
Oregon	183,886	183,886	183,886	-0-
Pennsylvania	604,018	604,000	604,000	18
Rhode Island	126,165	126,165	126,165	-0-
South Carolina	206,667	206,667	206,667	-0-
South Dakota	114,902	114,902	114,902	-0-
Tennessee	266,896	266,896	266,896	-0-
Texas	611,731	611,731	611,731	-0-
Utah	136,728	136,728	136,728	-0-
Vermont	105,566	105,566	105,566	-0-
Virginia	300,249	-0-	-0-	300,249
Washington	238,189	238,189	238,189	-0-
West Virginia	163,243	-0-	-0-	163,243
Wisconsin	285,172	285,172	285,172	-0-
Wyoming	100,921	100,879	100,879	42
Total	13,485,431	12,704,513	12,704,513	780,918

Evaluation of Postsecondary Education Programs

The primary goal of OE's postsecondary education programs is to enhance educational opportunity. The principal strategy in pursuit of this goal is to provide funds for student assistance, both directly to students and indirectly through States and institutions of postsecondary education. The assumptions behind this strategy is that needy students should be aided first who are financially needy or disadvantaged and that students will bear some of the responsibility for financing their education. Total obligations for these programs administered by OE in FY 1977 was slightly more than $3.2 billion.

The forms of student assistance administered by the Office of Education are grant programs (Basic Educational Opportunity Grant, Supplemental Educational Opportunity Grant, State Student Incentive Grant) which provide non-returnable aid ($2.21 billion in FY 1977); self-help programs (College Work-Study, Cooperative Education, Guaranteed Student Loan Program, National Direct Student Loan) which accounted for $1.05 billion in FY 1977 1/; service programs (Talent Search, Upward Bound, Special Services to Disadvantaged Students, Educational Opportunity Centers, and Legal Training for Disadvantaged) aimed at recruiting, counseling, and tutoring disadvantaged students both prior to and once they are enrolled in postsecondary institution ($85 million in FY 1977); and finally institutional programs, the largest of which was the Developing Institutions program, which accounted for $192 million in FY 1977.

1/ This amount includes obligations only, actual loans made in FY 1977 under the Direct Loan and GSL Programs were in excess of a billion dollars.

The Impact of Student Assistance Programs

(1) Participation Rates

At the outset it should be made clear that while participation rates are readily available and commonly employed measure of how young people are accessing, choosing among and persisting in institutions of postsecondary education, they are not measures of the distribution of educational opportunity. Rather, they are measures of the results of young people's response to a number of educational and non-educational variables. Differences in these rates by student or family characteristics (such as income, sex, ethnicity, or State of residence) should not by themselves be taken as evidence of a lack of opportunity for access or as evidence that student aid programs are not importantly impacting on educational opportunity.

Nonetheless, such rates describe important features of the context in which the student aid programs operate.

Table I attempts to show where we are in access terms using the participation rates based on preliminary tabulations of the high school class of 1974 surveyed in the spring of 1976.

Table I

Distribution of 1974 High School Graduates Currently or Ever Engaged in Postsecondary Study vs. Non-Study Activities in Spring 1976 by Family Income

Family Income	Activity Percent Four-Year Inst.		Percent Two-Year Inst.		Percent Voc./Tech. or Other 1/		Percent Not Studying		Percent Total		Percent Studying All Inst. Types	
	Current	Ever	Current	Ever	Current	Ever	Current	Ever	Current	Ever	Current	Ever
$0 - 2,999	25.0	27.1	10.5	17.4	7.3	18.0	57.2	35.5	100	100	42.8	64.5
$3,000 - 5,999	21.0	25.5	15.7	22.6	5.1	14.2	58.2	37.7	100	100	41.8	62.3
$6,000 - 8,999	24.5	26.0	15.8	22.2	3.9	12.5	55.9	39.2	100	100	44.1	60.8
$9,000 - 11,999	25.2	29.8	17.8	27.4	4.3	10.7	52.7	32.2	100	100	47.3	67.8
$12,000 - 14,999	24.7	29.0	22.1	30.0	6.5	12.8	46.9	28.1	100	100	53.1	71.9
$15,000 - 19,999	34.5	39.8	22.3	26.8	4.4	10.1	42.1	24.0	100	100	57.9	76.0
$20,000 - 29,999	41.3	46.1	20.1	27.5	3.5	8.1	35.0	18.4	100	100	65.0	81.6
$30,000 or More	53.2	59.2	16.4	23.2	4.0	7.3	26.5	10.2	100	100	73.5	89.8
Income Unknown	26.5	31.4	17.7	25.2	4.4	10.8	51.4	32.7	100	100	48.6	67.3
Total	32.7	37.1	18.4	26.0	4.5	10.6	44.4	26.3	100	100	55.6	73.7

Source: Preliminary tabulations from Studies on the Impact of Student Financial Aid Programs, Study B: Impact of Student Aid and Labor Market Conditions on Access to Postsecondary Education, Institute for Demographic and Economic Studies, Inc., funded by Office of Planning, Budgeting, and Evaluation, Contract #300-75-0382.

1/ Other includes all other formal postsecondary training or schooling programs.

The data in Table I indicate that participation in postsecondary study activities varies markedly with the level of family income. This variation is apparent whether viewed in terms of currently engaged (Spring 1976) or ever-engaged participation rates. The difference in current participation between the lowest and highest income group is over 30 percentage points. Figure 1 graphically displays the current participation rate data of Table I for all types of institutions and compares these data to the mean participation rate for all income classes. As can be seen, the relationship between income and participation is striking.

The data in Table I and in Figure 1 also indicate that the increasing proportions engaged in postsecondary study activities at higher income levels is principally a function of increases in the 4-year college going rates with income. For example, less than 25 percent of the lowest income groups attend 4-year institutions while over 50 percent of the highest income class falls into this category. These data also show a much higher probability that a low-income high school graduate will attend a vocational/technical type institution than is the probability that a high income student will attend an institution of this type. These general impressions with respect to choice of institutional type are also reflected in Table II which shows the distribution of students by income and institutional type and includes only those members of the survey who were currently (Spring 1976) or at some time after high school graduation engaged in some form of postsecondary study activity.

Data in Table III indicate that there is a somewhat greater probability that a low income student will fail to complete a postsecondary program once

Figure 1

Participation Rates by Income
Of the Class of 1974
In Spring 1976

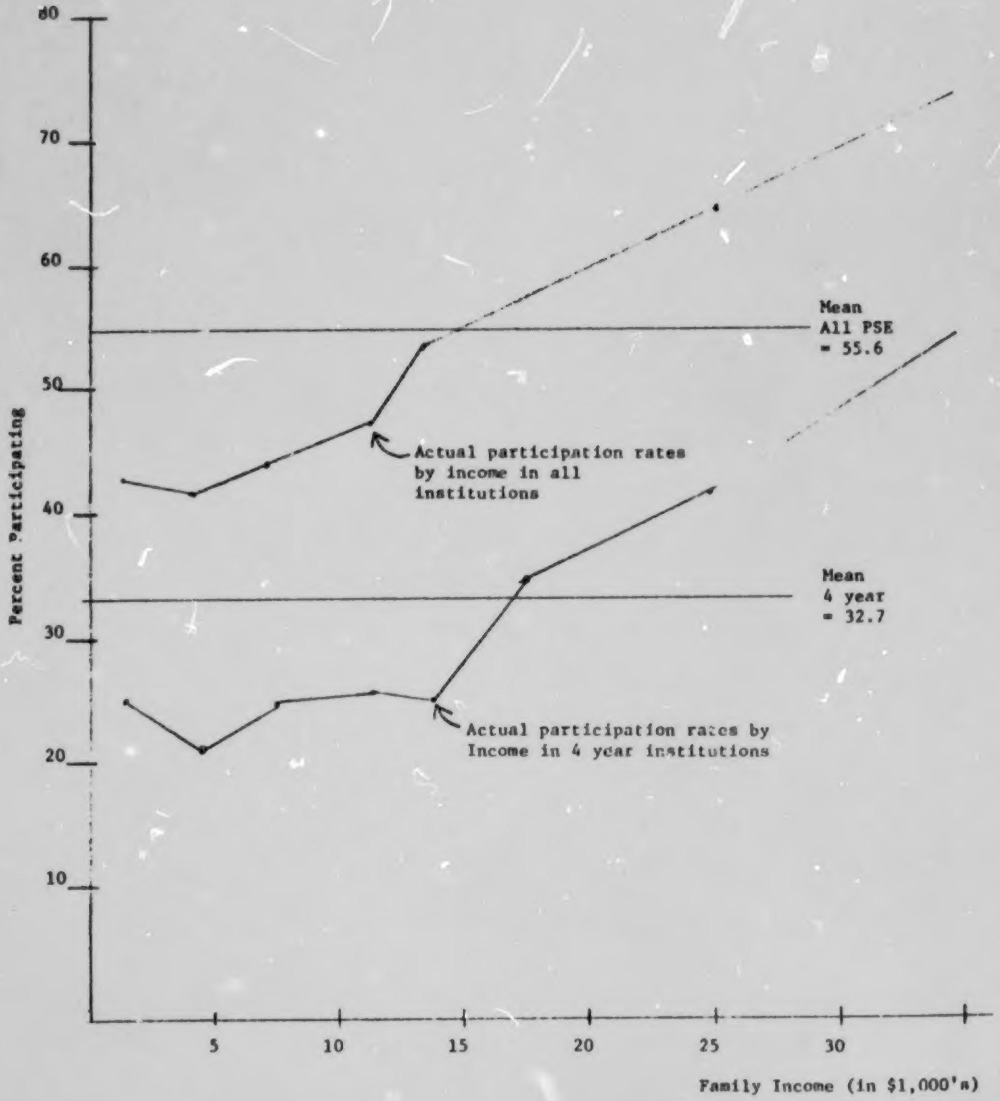

Table II

Distribution of 1974 High School Graduates Currently or Ever Engaged in Postsecondary Study Activities in Spring 1976 by Institutional Type and Family Income

Family Income	Institutional Type Percent Four-Year Inst. Current	 Ever	 Percent Two-Year Inst. Current	 Ever	 Percent Voc./Tech. or Other 1/ Current	 Ever	Percent Total Current	 Ever
$0 - 2,999	58.5	43.3	24.5	27.8	16.9	28.9	100	100
$3,000 - 5,999	50.4	40.9	37.6	36.4	11.3	22.7	100	100
$6,000 - 8,999	55.6	42.8	35.8	36.5	8.7	20.7	100	100
$9,000 - 11,999	53.2	43.9	37.7	40.4	9.1	15.7	100	100
$12,000 - 14,999	46.4	40.4	41.5	41.7	12.1	17.9	100	100
$15,000 - 19,999	59.5	51.5	33.0	35.2	7.6	13.3	100	100
$20,000 - 29,999	63.6	56.5	31.0	33.6	5.5	9.9	100	100
$30,000 or More	72.4	66.0	22.3	25.9	5.3	8.2	100	100
Income Unknown	54.5	46.6	36.5	37.4	9.0	16.0	100	100
Total	58.8	50.3	33.0	35.2	8.2	14.5	100	100

Source: Preliminary tabulations from Studies on the Impact of Student Financial Aid Programs, Study B: Impact of Student Aid and Labor Market Conditions on Access to Postsecondary Education, Institute for Demographic and Economic Studies, Inc., funded by Office of Planning, Budgeting, and Evaluation, Contract #300-75-0382.

1/ Other includes all other *formal* postsecondary training or schooling programs.

Table III

Dropout Rates 1/ of 1974 High School Graduates from First Postsecondary Program Attended as of Spring 1976 by Institutional Type and Family Income

Family Income	Four-Year Inst. Percent	Two-Year Inst. Percent	Voc./Tech. and Other 2/ Percent	Total Percent
	Institutional Type			
$0 - 5,999	10.6	23.2	19.2	16.6
$6,000 - 11,999	7.8	18.6	18.3	13.8
$12,000 - 14,999	9.4	16.4	8.5	12.2
$15,000 - 19,999	9.5	20.1	13.0	13.7
$20,000 - 29,999	7.0	18.0	16.0	11.6
$30,000 or More	6.6	16.9	7.0	9.3
Income Unknown	9.0	16.3	16.7	13.0
Total	8.1	18.4	14.5	12.5

Source: Preliminary tabulations from Studies on the Impact of Student Financial Aid Programs, Study B: Impact of Student Aid and Labor Market Conditions on Access to Postsecondary Education, Institute for Demographic and Economic Studies, Inc., funded by Office of Planning, Budgeting, and Evaluation, Contract #300-75-0382.

1/ A dropout is defined as a person who left before completing program and was not attending any program at the time surveyed.

2/ Other includes all other formal postsecondary training or schooling programs.

entered than will a student from the highest income class. A student from the lowest family income class has in general almost an 80 percent greater chance of dropping out than a student from the highest income class. It should be noted that this tendency is pronounced only in the extremes of family income. Thus, not only do participation rates vary by income rather dramatically initially, the variation has some tendency to increase over time.

Another interesting feature of the dropout rate data in Table III, however, is the variation in retention by institutional type. Students entering 4-year institutions face a much lower probability of dropping out than do students entering all other institutional types. This is true for all income classes. Thus, it is possible that part of the explanation of the relatively higher dropout rates of low-income students is the fact that they have a somewhat greater tendency to attend 2-year and vocational/technical institutions.

([illegible]) Net Price

Equality of educational opportunity may also be viewed in terms of "net price," defined as college cost minus the sum of family contribution and grant aid. By this measure equality of opportunity exists when net price does not vary significantly by parental income for students attending schools of a given cost. If this condition obtains for all income levels and at each cost level, it indicates complete financial equality of opportunity to the extent that this measure represents one's concept of equal opportunity. Financial equality of opportunity will be partial if the condition holds only for some income and/or cost levels.

In a world of no student assistance, an important source of differences in net price by income level (given college costs) is the tendency for family contribution to increase with family income. By distributing grant aid so that it varies inversely with family income, student assistance programs can equalize student resources available to overcome the principal financial barrier to accessing postsecondary education. Office of Education need-based grant programs are explicitly designed to do this. As measured here, however, net price does not reflect the impact of public policy alone but the interaction of public policy and private parental decisions about how much they wish to contribute to the education of their children.

If the condition of equal net price by family income level holds for all college-cost levels not only will equality of access be achieved but (subject to the same reservations) equality of choice as well. In this situation students choosing higher cost colleges will face higher net prices--but net prices which will not differ significantly from the net prices faced by students of higher or lower family income. Within the constraint of limited resources Office of Education grant programs are also structured to achieve this end.

(3) Empirical Analysis of Net Price

Data for first-time, full-time students are available to determine the degree to which differences in financial barriers to educational access and choice have been removed. Unfortunately data are not readily available to determine if differences in net price affect participation rates, although a currently funded study is attempting to determine how many students do not attend college because of price. The analysis below focuses on equalization of opportunity for students currently enrolled.

Preliminary data from Phase II of Studies on the Impact of Student Financial Assistance, gathered in Fall 1975, show a remarkable consistency across income classes in the actual net prices paid by first-time, full-time postsecondary students for all institutional cost levels (see Table IV), if student estimates of actual family contribution are used. This is an interesting finding given the availability of aid and the diversity* of distribution methods used for these programs. For example, while all Office of Education grant programs are need-based, other Federal programs such as Veterans Educational Benefits, as well as many if not most of State and institutional programs, provide grant aid on bases other than need alone.

The consistency of net price is especially apparent up to an annual family income of $20,000. (Virtually all of Office of Education sponsored aid is targeted on students with family incomes below $20,000.) For any cost interval net price by income level at most differs by $243 and 4.7 percentage points and in all other cost intervals the difference is substantially less. The differences are greatest at the two lowest institutional cost levels ($0-2,000) where there is a distinct tendency for the two lowest income groups ($0-6,000 and

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* See studies cited in program description sheets for student aid programs that follow this section.

Table IV

Percentages and Amount of Total College Costs From Family Contribution and Nonreturnable Grant Aid Sources by Parental Income and Institutional Cost for First-Time, Full-Time Students in Fall 1975 and Calculated Net Price

Institutional Cost 1/							Parental Income							
	$0-6,000		$6,001-10,000		$10,001-15,000		$15,001-20,000		$20,001-30,000		$30,001 or More		Total	
	% TC	Amount	% TC	Amount	% TC	Amount	% TC	Amount	% TC	Amount	% TC	Amount	% TC	Amount
Inst. Cost = $0-1,500														
Total Cost 2/	100	$2,123	100	$2,143	100	$2,164	100	$2,294	100	$2,327	100	$2,938	100	$2,353
Grant Aid 3/	50.8	1,078	38.4	825	20.6	446	11.6	267	7.0	176	4.2	124	18.3	430
Family Resources 4/	23.4	496	32.6	699	49.2	1,055	59.4	1,362	70.5	1,781	80.9	2,377	56.3	1,325
Σ Grant Aid + Fam. Res.	73.4	1,574	71.1	1,574	69.8	1,501	71.0	1,629	77.4	1,957	85.1	2,501	74.6	1,755
Net Price 5/	25.9	549	28.9	619	30.6	663	29.0	665	22.6	570	14.9	437	25.4	598
Inst. Cost = $1,501-2,000														
Total Cost	100	3,335	100	3,444	100	3,582	100	3,627	100	3,774	100	3,960	100	3,646
Grant Aid	53.3	1,779	44.7	1,540	31.5	1,128	21.9	796	10.9	410	4.7	188	24.4	889
Family Resources	16.9	564	22.6	763	34.0	1,217	44.6	1,618	60.9	2,300	82.0	3,247	47.1	1,718
Σ Grant Aid + Fam. Res.	70.3	2,343	67.3	2,303	65.5	2,345	66.6	2,414	71.8	2,710	86.7	3,435	71.5	2,607
Net Price	29.8	994	33.1	1,140	34.5	1,237	33.4	1,213	28.2	1,064	13.3	525	28.5	1,039
Inst. Cost = $2,001-2,500														
Total Cost	100	4,153	100	4,168	100	4,253	100	4,245	100	4,425	100	4,697	100	4,416
Grant Aid	51.0	2,118	45.2	1,885	32.4	1,377	23.1	980	13.8	611	3.2	150	21.1	932
Family Resources	20.4	849	25.1	1,045	36.8	1,567	48.0	2,039	66.4	2,938	86.1	4,046	55.2	2,437
Σ Grant Aid + Fam. Res.	71.4	2,967	70.3	2,930	69.2	2,944	71.1	3,019	80.2	3,549	89.3	4,196	76.3	3,369
Net Price	28.6	1,186	29.7	1,238	30.8	1,309	28.9	1,226	19.8	876	10.7	501	23.7	1,047
Inst. Cost = $2,501-3,000														
Total Cost	100	4,424	100	4,471	100	4,595	100	4,878	100	5,097	100	5,130	100	4,925
Grant Aid	48.4	2,141	40.7	1,821	31.7	1,456	23.8	1,161	13.6	695	3.6	184	17.0	837
Family Resources	23.5	1,041	26.7	1,192	38.5	1,767	48.2	2,350	66.1	3,368	86.7	4,450	63.2	3,110
Σ Grant Aid + Fam. Res.	71.9	3,182	69.6	3,013	70.1	3,223	72.0	3,511	79.7	4,063	90.3	4,624	80.1	3,947
Net Price	28.1	1,242	30.4	1,358	29.9	1,372	28.0	1,367	20.3	1,034	9.7	496	19.9	978
Inst. Cost = $3,001-4,000														
Total Cost	100	4,959	100	5,029	100	5,212	100	5,395	100	5,535	100	5,333	100	5,325
Grant Aid	52.2	2,589	47.6	2,396	35.6	1,906	27.3	1,473	13.7	756	3.6	194	18.1	964
Family Resources	17.8	883	21.4	1,074	35.0	1,824	43.7	2,356	63.6	3,523	85.4	4,553	61.8	3,290
Σ Grant Aid + Fam. Res.	70.0	3,472	69.0	3,470	71.6	3,730	71.0	3,829	77.3	4,279	89.2	4,757	80.0	4,254
Net Price	30.0	1,487	31.0	1,559	28.4	1,482	29.0	1,565	22.7	1,256	10.8	576	20.0	1,071
All Institutional Cost														
Total Cost	100	2,369	100	2,414	100	2,459	100	2,617	100	2,902	100	3,521	100	2,731
Grant Aid	50.9	1,205	39.9	962	23.6	580	14.8	388	8.7	253	4.0	141	18.8	513
Family Resources	22.2	525	30.4	733	45.3	1,115	55.8	1,459	68.6	1,990	82.9	2,920	55.8	1,524
Σ Grant Aid + Fam. Res.	73.0	1,730	70.2	1,695	68.9	1,695	70.6	1,847	77.3	2,243	86.9	3,061	74.6	2,037
Net Price	27.0	639	29.8	719	31.1	764	29.4	770	22.7	659	13.1	460	25.4	694

Footnotes:

1/ Institutional Cost is tuition and fees from HEGIS.
2/ Total is the sum of all student expenses. All amounts listed are in dollars.
3/ Grant aid is composed of BEOG, SEOG, State aid, local and private scholarships, Veterans benefits, and social security dependents benefits.
4/ Family resources are the sum of parents' contribution, spouses' contribution, and savings.
5/ Net price is total expenses minus the sum of grant aid and family resources.

Source: Preliminary tabulations from studies on the Impact of Student Financial Aid, Higher Education Research Institute, Los Angeles, California, Office of Planning, Budgeting, and Evaluation Contract #300-75-0382.

$6,001 10,000) to face lower net prices than do students in the family income brackets $10,001-15,000 and $15,001-20,000. This is an important finding in that almost 90% of all students attend schools in this $0-2,000 institutional cost range (see Table V). However, this tendency for net price to rise with income over the four lowest income ranges may be in part and perhaps entirely a result of the fact that within an institutional cost range total costs tend to rise with income. For example, the largest difference ($243) in net price within the $0-20,000 income range is between students with family incomes of $0-6,000 and $10,001-$15,000 within the institutional cost range of $1,501-2,000. However, this $243 greater net price paid by the higher of these income groups is virtually identical to their $247 higher total costs. That higher income students tend to attend higher cost schools is borne out by enrollment data in Tables V and VI. In particular, notice in Table VI that 50 percent of the $0-6,000 income category attend two-year public institutions while only 42.6 of the $10,000-15,000 income group attends these institutions. Thus, the rise in net price with income within the $0-20,000 institutional cost range may be more apparent than real. It seems reasonable to suppose that a finer breakdown of the data by institutional cost would show even less variation in net price with family income.

Table V
Enrollments of First-Time, Full-Time Students by Parental Income and Institutional Cost
Fall 1975

Parental Income								Institutional Cost										
	$0-1,500			$1,501-2,000			$2,001-2,500			$2,501-3,000			$3,001-4,000			All Costs *		
	%	Amount	%	%	Amount	%	%	Amount	%	%	Amount	%	%	Amount	%	%	Amount	%
$0-6,000	85.0	111,210	(10.3)	9.5	12,470	(10.7)	2.9	3,750	(5.1)	2.0	2,580	(4.5)	0.6	770	(5.0)	100.0	130,790	(9.9)
$6,001-10,000	84.7	126,830	(11.9)	8.9	12,970	(11.2)	3.5	5,300	(7.1)	2.5	3,750	(6.5)	0.6	950	(6.2)	100.0	149,810	(11.3)
$10,001-15,000	83.9	284,310	(26.7)	8.6	29,130	(25.0)	4.1	13,980	(18.8)	2.7	9,270	(16.2)	0.7	2,210	(14.4)	100.0	338,900	(25.5)
$15,001-20,000	82.2	192,350	(18.1)	8.4	19,700	(16.9)	5.0	11,790	(15.9)	3.5	8,280	(14.4)	0.8	1,890	(12.3)	100.0	234,010	(17.6)
$20,001-30,000	79.7	212,090	(19.9)	8.2	21,910	(18.8)	6.3	16,650	(22.4)	4.7	12,600	(22.0)	1.1	2,990	(19.5)	100.0	266,240	(20.1)
$30,001 or More	66.1	137,370	(12.9)	9.7	20,160	(17.3)	11.0	22,790	(30.7)	10.0	20,850	(36.4)	3.1	6,530	(42.6)	100.0	207,670	(15.6)
All Incomes	80.2	1,066,170	(100.0)	8.8	116,350	(100.0)	5.6	74,230	(100.0)	4.3	57,340	(100.0)	1.2	15,340	(100.0)	100.0	1,327,420	(100.0)

NOTE: First percent is row percent and second percent in parentheses is column percent.

Source: Preliminary tabulations from Studies on the Impact of Student Financial Aid, Higher Education Research Institute, Los Angeles, California Office of Planning, Budgeting, and Evaluation Contract #300-75-0382.

Table VI
Enrollments of First-Time, Full-Time, Students by Parental Income, Institutional Type/Control, and Race
Fall 1975

Parental Income and Race	Public University Amount	%	Public Four-Year Amount	%	Public Two-Year Amount	%	Private University Amount	%	Private Four-Year Amount	%	Private Two-Year Amount	%	Total Amount	%
$0-6,000														
White	9,480	11.0	14,130	16.4	43,320	50.2	2,110	2.4	13,220	15.4	4,100	4.7	86,360	100
Black	3,010	5.5	17,860	32.5	23,020	41.9	630	1.1	8,740	15.9	1,620	3.0	54,880	100
Other	1,130	5.3	2,670	12.4	15,000	69.9	460	2.1	1,710	8.0	500	2.3	21,470	100
All Students	13,620	8.4	36,660	21.3	81,340	50.0	3,200	2.0	23,670	14.5	6,220	3.8	162,710	100
$6,001-10,000														
White	17,090	13.2	23,640	18.3	61,890	48.0	3,000	2.3	18,970	14.7	4,760	3.7	129,350	100
Black	2,690	9.5	10,390	36.6	8,710	30.7	630	2.2	5,160	18.2	770	2.7	28,350	100
Other	1,390	8.7	2,190	13.7	10,020	62.9	510	3.2	1,530	9.6	290	1.8	15,930	100
All Students	21,170	12.2	36,7[illegible]0	20.1	80,620	46.4	4,140	2.4	25,660	14.8	5,820	3.4	173,630	100
$10,001-15,000														
White	56,910	17.1	66,970	20.1	141,160	42.6	9,810	3.0	46,860	14.1	10,280	3.1	332,450	100
Black	2,800	11.9	8,210	35.0	6,490	27.7	810	3.5	4,540	19.4	600	2.6	23,450	100
Other	2,490	11.7	2,520	11.8	12,4[illegible]	58.5	830	3.9	2,650	12.4	360	1.7	21,300	100
All Students	62,200	16.5	77,700	20.6	160,560	42.6	11,450	3.0	54,050	14.3	11,240	3.0	377,200	100
$15,001-20,000														
White	49,300	20.8	50,180	21.2	88,010	37.1	9,760	4.1	34,400	14.5	5,520	2.3	237,170	100
Black	1,420	13.7	3,240	31.3	3,020	29.2	440	4.[illegible]	2,080	20.1	140	1.4	10,340	100
Other	1,980	19.9	1,610	16.2	4,170	41.9	610	6.1	1,460	14.7	130	1.3	9,960	100
All Students	52,700	20.5	55,030	21.4	95,200	37.0	10,810	4.2	37,940	14.7	5,790	2.2	257,470	100
$20,001-30,000														
White	66,930	24.5	58,710	21.6	83,530	30.8	15,610	5.7	40,530	14.9	6,300	2.3	271,610	100
Black	1,330	15.0	2,810	31.7	2,170	24.5	460	5.2	1,970	22.2	130	1.5	8,870	100
Other	2,040	19.5	1,680	16.1	4,300	41.2	740	7.0	1,550	14.8	130	1.2	10,440	100
All Students	70,300	24.2	63,200	21.7	90,000	30.9	16,810	5.8	44,050	15.1	6,560	2.3	290,920	100
$30,001 or More														
White	54,170	26.1	34,800	16.7	42,740	20.6	24,910	12.0	46,280	22.3	4,870	2.3	207,770	100
Black	6,000	14.7	950	23.3	1,080	26.5	390	9.6	990	24.3	60	1.5	4,070	100
Other	1,400	20.3	860	12.5	2,020	29.3	1,070	15.5	1,420	20.6	130	1.9	6,900	100
All Students	56,170	25.7	36,610	16.7	45,840	21.0	26,370	12.1	48,690	22.3	5,060	2.3	218,740	100
All Income and All Races	276,160	18.7	303,420	20.5	553,650	37.4	72,780	4.9	234,060	15.8	40,690	2.7	1,480,670	100

Source: Preliminary tabulations from studies on the Impact of Student Financial Aid, Higher Education Research Institute, Los Angeles, California Office of Planning, Budgeting, and Evaluation Contract #300-75-0382.

While net prices appear to be equalized, given equal institutional costs, for students from families in the less-than-$20,000 income group, there are still substantial differences between the lower (less-than-$20,000) and the higher ($20,000-or-greater) income groups. The percentage decline in net price between the $15,000-20,000 family income group and the greater-than-$30,000 income class ranges from 34.3 percent within the lowest institutional cost category to 63.7 percent in the next to highest institutional cost classification with a weighted average drop of 40.3 percent. These large declines in net price with income over the greater-than-$15,000 income range are principally a result of the fact that this income group is virtually untouched by need-based grant aid so that the large increases in family resources with income are not offset by grant aid for the lower part of the income range. 1/

Another important difference which stands out when comparing the highest income group with the others is that from the student's viewpoint, college choice can be made on almost a wholly nonfinancial basis by students with family incomes of more than $30,000. Net price for this income group ranges from $437 in the $0-1,500 institutional cost category to $576 (a 24.1% increase) in the $3,000-4,000 category. This stands in sharp contrast to all other income categories where the percentage increase from the $0-1,500 institutional cost category to the $3,000-4,000 cost category ranges from 120 to 171 percent and in absolute amount from $686 to $940.

In spite of the fact that substantial differences persist between net prices at higher and lower family income levels and among higher and lower cost

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1/ The above results on the consistency of net price (given college cost) for the lower and middle income ranges is consistent with data from the National Longitudinal Study of the High School class of 1972 published in the FY 1975 Annual Evaluation Report of OPBE. These data are also consistent with preliminary results from a 1976 follow-up of 1973 high school juniors.

institutions, it is nonetheless apparent from these data that Office of Education grant aid programs available in FY 1976 have been quite successful in equalizing net price to students currently enrolled in schools of similar cost up to an income level of $20,000. In the absence of the two largest Office of Education grant programs (BEOG and SEOG) and assuming all other sources of non-returnable grant aid remain unchanged in amount and distribution, net price would vary substantially by income as is indicated in Table VII. A decline in net price with income occurs without exception within all cost levels and by very large relative and absolute amounts. Thus, it is clear that Office of Education grant programs have made a major contribution toward equalizing financial barriers to accessing and choosing among institutions of postsecondary education.

The data in Table IV showing the consistency of net price across income categories also suggest that factors other than financial barriers contribute to differences in participation rates among income classes. Thus, given the aid programs available in FY 1976 to most lower-income students, it seems clear that the problem of accessing postsecondary education may not be purely financial; in fact, an argument can be made that nonfinancial barriers may be more important. What the problem is (if, indeed, there is a problem) remains a matter of debate.

Table VII

Adjusted Net Price by Parental Income and Institutional Cost in the Absence of BEOGP and SEOGP for First-time, Full-time Students in Fall 1975

Parental Income

Cost and Net Price	$0 - 6,000		$6,001 - 10,000		$10,001 - 15,000		$15,001 - 20,000		$20,001 - 30,000		30,000 or More	
	% TC	Amt	% TC	Amt	% TC	Amt	% TC	Amt	% TC	Amt	% TC	Amt
Cost: $0-1,500												
Adjusted Net Price 1/	56.7	1,202	49.1	1,052	38.5	832	32.1	737	28.3	714	15.8	464
Cost: $1,501-2,000												
Adjusted Net Price	58.9	1,962	55.1	1,897	45.7	1,635	39.5	1,431	18.5	699	12.1	479
Cost: $2,001-2,500												
Adjusted Net Price	50.5	2,099	48.1	2,003	40.2	1,709	34.6	1,470	22.6	999	11.3	530
Cost: $2,500-3,000												
Adjusted Net Price	47.9	2,120	45.3	2,027	38.6	1,772	33.0	1,611	22.7	1,157	10.2	525
Cost: $3,001-4,000												
Adjusted Net Price	49.6	2,460	46.7	2,348	36.8	1,919	33.2	1,789	25.3	1,400	11.3	603

Source: Preliminary tabulations from studies on the Impact of Student Financial Aid, Higher Education Research Institute, Los Angeles, California Office of Planning, Budgeting, and Evaluation Contract #300-75-0382.

1/ NOTE: Adjusted price equals total cost minus the sum of Family Contribution and Grant Aid exclusive of BEOG's and SEOG's in dollars.

In summary the data presented above exhibit a number of interesting characteristics with respect to the distribution of educational opportunity and how students respond to those opportunities. The financial aspect of educational opportunity is expressed above in terms of prices faced by first-time full-time students net of non-returnable aid in the form of family contributions and grants. Within institutional cost ranges these "net prices" are more or less equal for all family income levels through $20,000 in 1975. Beyond this income level net prices fall dramatically as family contribution becomes ever more dominant in the net price calculation. The equalization of net price which occurs with the presence of the major Office of Education grant programs stands in sharp contrast with that which would occur in the absence of these programs. If Basic and Supplemental Educational Opportunity grants are left out of the calculation and other aid remains unchanged in amount and distribution, net price falls by large absolute and relative amounts with family income leaving educational opportunity substantially mal-distributed. Thus it appears that the principal Office of Education grant programs have an important impact on equalizing educational opportunities along an income dimension.

In spite of the fact that educational opportunity in net price terms does not vary substantially by income where cost is considered, for a huge majority of the first-time full-time student population there are still surprisingly large differences in college-going rates along a family income dimension. In general low income students are much less likely to be engaged in a postsecondary educational activity than are their higher income counterparts. Most of this general variation appears to be explained by the strong direct association of four-year college-going rates with income. The latter also apparently contributes to an explanation of dropout rates which are significantly higher for lower than for higher income students. Students at four-year institutions are more likely to remain in school than are students at two-year and vocational/technical schools. The systematic variation in participation and persistence rates with parental income does not appear to be related to any systematic variation in net price with income.

The Impact of Special Programs for Students from Disadvantaged Backgrounds

While student grant aid, and self-help programs can be judged in terms of their impact on equalizing financial barriers to obtaining an education at schools of varying cost and students of varying incomes, other Federal programs are aimed at removing nonfinancial barriers to access and persistence. The target groups for these programs are disadvantaged young people with academic promise but who lack adequate academic preparation or who are insufficiently motivated. The programs attempt to identify these young people and provide them with financial aid information, counseling, and tutorial assistance, to encourage them to enter and to persist in postsecondary education. Present programs focus on students both at the pre-college and college levels. Current funding levels allow for serving less than one in eight of the potential clients.

Analysis of data from a recent study of high school completion and postsecondary education entry for the Upward Bound participants and a similar, but non-participating, comparison group of students reveals the following outcomes:

(1) There was no significant differences in high school completion for the two groups, with both having about 70 percent probability of high school graduation;

(2) Upward Bound participants were more likely to attend a postsecondary institution. About 71 percent of the

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See Program Description Sheet for detailed discussion of the Upward Bound, Talent Search, Special Services, and Educational Opportunity Centers Program.

UB high school graduates in 1974 enrolled in postsecondary education while only about 47 percent of the comparison group enrolled.

(3) The probability of both high-school completion and postsecondary entry shows sharp differences between the UB and comparison groups, and among the UB students depending upon length of time in Upward Bound. Although the comparison groups of students showed a 32 percent probability of high school completion and postsecondary entry, UB participants who entered UB in grade 10 (or earlier), grade 11, and grade 12 showed probabilities of high school completion and postsecondary entry of 60 percent, 53 percent, and 47 percent respectively.

(4) The average Federal cost per UB placement in postsecondary education was $3,054, and the net cost (subtracting the proportion of the comparison groups who entered postsecondary education without the aid of UB) was about $7,400.

An assessment of the performance and retention of these two groups of students in postsecondary education began in October 1976, and will be completed in late 1977; however, preliminary results indicate a higher level of attendance for UB program participants is continuing.

At the postsecondary level, the empirical findings of the Study of the Special Services for Disadvantaged Students (SSDS) Program show that institutions that have such programs exhibit neither a positive nor a negative impact on disadvantaged students as a whole. Historically the most reliable pre-college predictor of later academic success has traditionally been previous academic performance. No evidence was found that participation in the type of support services found in the SSDS systematically improves performance or satisfaction with college over that which may be expected from past performance.

The most recent study of the Talent Search (TS) program showed that the program served about 109,000 clients in program year 1973-74, with about 80 percent of the clients applying for postsecondary education. Three-quarters of the applicants were accepted by postsecondary educational institutions, at least 26 percent were reported by the Talent Search projects to have enrolled, and about three-fourths of the reported enrollees were verified by the study as having done so. In spring 1974, three-fourths of the verified enrollees were still enrolled.

On June 30, 1976, the Educational Opportunity Centers Program completed its second year of operation. The twelve funded centers provided various forms of counseling and remedial or tutorial education assistance to 37,169 participants. About 12,412 participants were placed in postsecondary level schools, or training programs, and more than 2,707 additional participants had been accepted by a postsecondary institution but had not yet begun their studies.

The various studies of the Special Programs for Students from Disadvantaged Backgrounds noted above, while showing some evidence of program success, have also revealed a need to improve program impact. Work is underway to design, implement, and rigorously evaluate a series of alternative compensatory education techniques, or models. This project comprises two years for design, field-site selection, and training.

Beginning in September 1978, there will be a three-year field trial of the models with impact data extracted annually for evaluation, and results reported annually. There will also be a final year of data synthesis and analysis with results reported for the whole project. The results will be applied to the existing Special Programs and will also furnish tested models to State and local education agencies and postsecondary educational institutions for use in their own efforts with disadvantaged students in high school and college.

The Impact of Institutional Assistance Programs

In addition to student aid programs, the Office of Education also administers programs that grant funds directly to the institution. These institutional aid programs may also help the institution hold constant, in a period of rising costs, or reduce, the net price to students by reducing the net cost of instruction. Or they may allow the institution to improve the quality of the educational services it provides without passing the full increase on to students.

Federal institutional aid programs administered by the U.S. Office of Education make up roughly 10 percent of the total OE higher education budget; ($359 million in FY 1977 of a total $3.478 billion) HEA Title III, the Developing Institutions Program, accounts for over half of this total (or $120 million in FY 1977). This program is intended to affect both the short- and long-term viability of participating institutions both by promoting detailed institutional program planning, curriculum development, faculty development, and administrative practices and by providing resources to help the institution finance these programs. If an institutional subsidy, such as HEA Title III has the effect of reducing net price, the impact of the program can be measured not only by its enhancement of institutional viability, but in terms of access, choice and persistence. In this regard, HEA Title III program funding criteria include as a key factor the relative number of disadvantaged students the institution serves. Thus, the program can be said to be on target if the relative number of disadvantaged served in developing institutions exceeds those in the student population as a whole in all cases. Using Basic Grant recipients as a proxy for academic year, on the average BEOG recipients made up 28.5% of the student body compared with 17.9% for other two- and four-year colleges.

Further (and program information again suggests this is the case), few participating institutions have closed since the inception of the program. Since these institutions serve large numbers of low income students, their demise would reduce the number of postsecondary education institutions available (or choice) for those students currently enrolled in the affected institutions. This should be qualified, of course, in that these students may find other opportunities of equal or higher quality.

There is some evidence consistent with the hypotheses that aid to developing institutions enhances equality of opportunity by lowering net price. When compared to similar institutions not aided under Title III, low income students (less than $7,500 parental income) attending participating institutions are substantially more likely to receive student aid. While this result is by no means definitive, one reason for the difference may be that Title III allows participating institutions to free up additional resources for student aid.

Little can be said with regard to the final and perhaps most important goal, persistence, since comparative data adjusted for student type, program, program quality, and achievement over a four-or-five year period is not currently available.

Finally, evidence available indicates that there is little difference in the resources available in participating and similar non-participating HEA Title III institutions of a similar nature.

While these comments refer primarily to the HEA Title III Program, other OE-administered institutional aid programs which effectively reduce net price obviously will have a similar impact on access and choice. These programs also have specific purposes some of which can also be measured. Summary comments on each are covered in the specific program evaluation summaries below.

School Eligibility and Agency Evaluation

With the advent of direct Federal aid to students, it became necessary for the administrating agency to make certain that students receiving Federal aid would obtain a quality educational experience. The Office of Education, in particular, was given the responsibility of certifying public and private agencies which accredit postsecondary institutions wishing to participate not only in the student assistance programs but also in direct institutional assistance programs. Recent publicity on recruiting practices and GSLP loan defaults has reinforced the need for the enhancement of these activities, not only at the Federal but also at the State level. Studies have been conducted, and others are underway, which will provide information not only on what is happening but also methods for overcoming some of the problems. Further detail is provided on the studies in the section below on Eligibility and Agency Evaluation.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Basic Educational Opportunity Grant Program

Legislation: **Expiration Date:**

Education Amendments of 1972, Title IV; Public Law 92-318, 86 Stat., 248-251; as amended Public Law 94-482.

September 30, 1979

Funding History:	Year	Authorization	Appropriation
	1973	(Such sums as	$122,100,000
	1974	may be necessary	475,000,000
	1975	"	660,000,000
	1976	"	1,325,800,000
	1977	")	1,903,900,000
	1978		2,160,000,000

Program Goals and Objectives:

The Basic Educational Opportunity Grant Program is a source of Federal student financial aid which became available to eligible students for the first time during the 1973-74 academic year. The purpose of the Basic Grant Program is to provide eligible students with a "floor" of financial aid to help them defray the costs of postsecondary education. Student eligibility is primarily based on financial need determined on the basis of a formula developed by the Office of Education and reviewed by Congress annually and is applied uniformly to all applicants. The result of applying this formula is called the student's eligibility index and is used solely for purposes of determining the amount of a student's Basic Grant award. Eligibility for Basic Grants is determined on the basis of financial need and that there is no scholastic determination made.

Program Operation:

(a) Student Eligibility

Basic Grant assistance is available to all eligible undergraduate students who are enrolled in an eligible institution on at least a half-time basis. Participating institutions include colleges and universities, as well as postsecondary vocational, technical and proprietary institutions who meet Federal eligibility requirements. A student may enroll and receive his Basic Grant award at the eligible institution of his choice. Eligibility is limited to four years of undergraduate study, but may be extended to five years under special circumstances specified by law.

(b) Family Contribution Schedule

The law requires the Commissioner to submit to Congress each year for approval a schedule indicating the formula for determining the Expected Family Contribution. This is the amount a family can be expected to contribute to a student's postsecondary education. The formula takes into account such indicators of family financial strength as parental and student income, assets, family size, number of family members in postsecondary education, educational expenses of other dependent students, and the special educational benefits a student receives. A separate formula is used for dependent and independent students.

(c) Calculation of Awards at Full Funding

The law originally provided that at full funding a student's Basic Grant entitlement be equal to $1,400 minus expected family contribution. The Education Amendments of 1976 stipulates that the maximum award in 1978-79 academic year be changed to $1,800 1/ while the minimum award remains unchanged. There is a further limitation that payments cannot exceed one-half the actual cost of attendance, which includes tuition and fees, books and supplies, room and board, and a personal allowance. The minimum award at full funding is $200.

(d) Calculation of Awards at less than Full Funding

In the event that sufficient funds are not available to fully fund all entitlements, student grants must be reduced in accordance with the following provision:

If $1,400 minus expected family contribution is:

More than $1,000	Pay 75% of the amount
$801 to $1,000	Pay 70% of the amount
$601 to $800	Pay 65% of the amount
$200 to $600	Pay 50% of the amount

In addition no award may exceed half of cost minus expected family contribution. The minimum award is $50 at less than full funding.

If sufficient funds are not available to meet awards determined by the above reduction schedule, all awards are further reduced by a constant prorata factor.

Program Scope:

Preliminary data for academic year 1975-76 indicate that out of a total of 2,178,696 valid applications, 1,455,187 qualified for Basic Grants. Of the qualifying applicants 1,228,034 (84.4%) received average awards of $763. Dependent students constituted 70.2 percent of qualified applicants in academic year 1975-76 while the remainder (29.8%) were independent applicants. In this academic year 6,238 institutions were eligible under the BEOG program.

The Basic Grant appropriation for the 1973-74 academic year was $122.1 million and eligibility was restricted to students who began their education after July 1, 1973 and who were enrolling on a full-time basis. Awards for 1973-74 ranged from $50-$452. During the second year of operations (1974-75), appropriations were $475 million and award levels ranged from $50-$1,050. Eligibility was expanded to include a second class of students who began their postsecondary education after April 1, 1973 and who were enrolling on a full-time basis. During the third year of operations (1975-76), $1 billion was available and award levels ranged from $200 to $1,400. Eligibility was expanded further to include third year undergraduate students who began their postsecondary education after April 1, 1973 and who were enrolling on at least a half-time basis.

For the 1976-77 academic year, the Basic Grant appropriation language no longer specifies that eligibility be restricted to those students "who began or will begin their postsecondary education after April 1, 1973." Basic Grants will be available to all eligible undergraduate students who will be enrolling on at least a half-time basis between July 1, 1976 and June 30, 1977. During the 1976-77 academic year, an estimated 1,931,000 students will receive Basic Grant awards with an average award of $790.

In addition to the above expansion of eligibility, Congress approved for the 1975-76 academic year changes in the Family Contribution Schedules liberalizing the treatment of assets, effective income, family size offsets, and independent students. These changes were based on program experience and were designed to improve the equity of the program.

As a result of changes in eligibility, the movement to full-funding, and changes in the Family Contribution Schedules, the Basic Grant Program grew dramatically over the 1973-75 period both in terms of numbers of students served and in average awards. The number of BEOG recipients increased from 185,249 in the 1973-74 academic year to 1,268,300 in the 1975-76 academic year (563%) while the average award grew from $269 to $775 (188%).

Perhaps more interesting than the overall growth of the BEOG Program is the changing composition of qualifying applicants in terms of income and dependency status. Over the three years of operation of the Basic Grant Program the number of eligible independent applicants has increased from

35,803 in 1973-74 to 433,251 in 1975-76 (or by a factor of approximately 12). As a percentage of all applicants independent applicants have increased their share of total applicants from 12.3 percent in 1973-74 to 29.8 percent in 1975-76. These changes have had important consequences for the overall income distribution of eligibles which if reflected in the income distribution of participants (which is presumably the case) has substantial budgetary implications. The percentage of all eligible applicants with family income under $3,000 increased from 25.6 percent in 1973-74 to 29.7 percent in 1975-76. This change occurred in spite of the fact that dependent eligibles in the $0-2,999 income class declined over this period from 17.0 percent to 12.2 percent of all qualifying applicants. While total program expenditures data (and/or average awards) by dependency status are not available it is likely that the increase in the ratio of independent to total eligible understates the increase in the share of total BEOG expenditures received by independent students. This is so because these students are disproportionately represented in the lowest family income classes.

Program Effectiveness and Progress:

Basic Grant Program data and recent Higher Education Panel (HEP) Survey results for the 1974-75 academic year indicate that the BEOG program is generally working in the direction of equality of access and choice with respect to the student characteristics of income, sex, and minority status. [1] Although 1974-75 program data does not include information regarding applicant sex and race, the HEP Survey indicates that the percentage distribution by sex of BEOG recipients in all institutions is such that females are substantially more likely to receive a BEOG than males. Survey results show that Basic Grant recipients were 54.5% female and 45.5% male. This closely agrees with 1973-74 program data in which 56.1% of qualified applicants were female and 43.9% were male. These percentages are almost exactly opposite the percentage distribution by sex of total enrollment in the latest NCES data. However, the percentage distribution by sex of all BEOG recipients masks some underlying differences by type and control. While females definitely dominate the percentage distributions in the public sector at two- and four-year institutions, the proportions of male and female BEOG recipients at public universities are virtually identical. In the private sector, on the other hand, males tend to dominate the sex distribution of BEOG recipients at two-year institutions (52.1%) and at universities (55.2%), while 54.7 percent of BEOG recipients at private four-year colleges were female. In all cases, however, females are represented among BEOG grant recipients in greater proportion than their representation in total enrollment in each type of institution either public or private. Preliminary data on the distribution of BEOG recipients by sex for 1976-77 indicates that there have been no apparent changes in these distributions from 1974-75.

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[1] The HEP Survey did not include proprietary or public vocational schools.

The distribution of BEOG's is heavily in favor of minority students--the percentage of minority students receiving BEOG's is far greater than their percentage in the total population and in their percentage of total postsecondary education enrollment. However, preliminary data indicates that this percentage has fallen from 48.1% in 1974-75 to 42.1% in 1976-77.

Table 1 shows the percentage distribution of BEOG recipients by income, type, and control, and dependency status for academic 1976-77. As is expected the percentages of BEOG's recipients declines with income for all institutional types. However, in two-year institutions the percentage in the lowest income category is substantially greater than that at four-year institutions. This is no doubt related to the fact that higher income students may qualify for a BEOG if they attend a relatively high cost school whereas they might not qualify at a lower cost institution. Moreover, lower income students are generally more likely to attend two-year schools. Another interesting feature of these data is the prominence of independent students in two-year public schools. Thirty-three percent of BEOG's recipients in two-year schools are independent, while the comparable figure for private universities is only 9.8%.

Table 1

Characteristics of Participants in the Basic Opportunity Grant Program by Type and Control of Institution, 1976-77
(In percentage)

		Public Institutions			
Characteristics	Total All Institutions	Total	Two-Year	Four-Year	University
Dependent Undergraduates					
Family Income					
Less than $7,500	43.5	43.5	45.1	43.9	39.6
$7,500 - 11,999	19.6	18.4	14.7	20.5	23.6
$12,000 or more	11.9	10.9	7.2	13.1	15.2
Independent Undergraduates	24.9	27.1	33.0	22.5	21.7
	100.0	100.0	100.0	100.0	100.0
		Private Institutions			
Dependent Undergraduates					
Family Income					
Less than $7,500		43.4	51.3	42.0	44.1
$7,500 - 11,999		24.4	25.9	24.2	24.3
$12,000 or more		16.4	11.4	16.1	21.9
Independent Undergraduates		15.7	11.3	17.7	9.8
		100.0	100.0	100.0	100.0

Table 2

Percentage and Amount of Total College Costs from Nonreturnable Grant Aid Sources by Parental Income and Institutional Cost for First-Time, Full-Time, Students

Fall 1975

Institutional Cost and Source	Parental Income																	
	$0-6,000			$6,001-10,000			$10,001-15,000			$15,001-20,000			$20,001-30,000			$30,001 or More		
	Amount	% TG	% TC	Amount	% TG	% TC	Amount	% TG	% TC	Amount	% TG	% TC	Amount	% TG	% TC	Amount	% TG	% TC
Cost: $0 - 1,500			(2,123)			(2,143)			(2,164)			(2,294)			(2,527)			(2,938)
BEOG	567	60.6	26.7	375	51.9	17.5	143	35.9	6.6	60	24.2	2.6	29	19.0	1.2	20	19.8	0.7
SEOG	86	9.2	4.0	58	8.0	2.7	26	6.5	1.2	12	4.8	0.5	5	3.3	0.2	4	4.0	0.1
State, Local, and Private Scholarship	215	23.0	10.1	220	30.4	10.3	177	44.5	8.2	141	56.9	6.2	95	62.1	3.8	55	54.5	1.9
Veterans Benefits	68	7.2	3.2	69	9.6	3.2	52	13.1	2.4	35	14.1	1.5	24	15.7	1.0	22	21.8	0.8
Total Grants	936			722			398			248			153			101		
Cost: $1,501 - 2,000			(3,337)			(3,443)			(3,528)			(3,627)			(3,774)			(3,960)
BEOG	784	43.4	23.5	589	38.7	17.1	295	26.6	8.2	167	21.3	4.6	104	20.8	2.8	33	17.6	0.8
SEOG	184	10.2	5.5	168	11.0	4.9	104	9.4	2.9	51	6.5	1.4	25	5.0	0.7	9	4.8	0.2
State, Local, and Private Scholarship	633	35.1	19.0	648	42.5	18.8	631	56.9	17.6	519	66.3	14.3	330	66.0	8.7	120	64.2	3.0
Veterans Benefits	167	9.3	5.0	119	7.8	3.4	79	7.1	2.2	46	5.9	1.3	41	8.2	1.1	25	13.4	0.6
Total Grants	1,806			1,524			1,109			783			500			187		
Cost: $2,001 - 2,500			(4,153)			(4,168)			(4,253)			(4,245)			(4,425)			(4,697)
BEOG	708	36.7	17.1	547	31.4	13.1	284	21.7	6.7	180	19.0	4.2	101	18.9	2.3	25	18.5	0.5
SEOG	205	10.6	4.9	218	12.5	5.2	116	8.9	2.7	64	6.7	1.5	22	4.1	0.5	4	3.0	0.1
State, Local, and Private Scholarship	987	51.1	23.8	929	53.3	22.3	876	66.8	20.6	690	72.6	16.3	400	74.9	9.0	100	74.1	2.1
Veterans Benefits	32	1.7	0.8	49	2.8	1.2	35	2.7	0.8	16	1.7	0.4	11	2.1	0.3	6	4.4	0.1
Total Grants	1,932			1,743			1,311			950			534			135		
Cost: $2,501 - 3,000			(4,424)			(4,471)			(4,595)			(4,878)			(5,097)			(5,130)
BEOG	705	35.5	15.9	502	28.3	11.2	294	21.4	6.4	176	15.7	3.6	155	17.1	2.3	25	14.8	0.5
SEOG	173	8.7	3.9	167	9.4	3.7	106	7.7	2.3	63	5.6	1.3	35	5.2	0.7	4	2.4	0.1
State, Local, and Private Scholarship	1,085	54.6	24.5	1,058	59.6	23.7	953	69.2	20.7	871	77.6	17.9	518	77.0	10.2	133	78.7	2.6
Veterans Benefits	23	1.2	0.5	45	2.7	1.1	24	1.7	0.5	12	1.1	0.2	5	0.7	0.1	7	4.1	0.1
Total Grants	1,986			1,775			1,377			1,122			673			169		
Cost: $3,001 - 4,000			(4,959)			(5,029)			(5,212)			(5,395)			(5,535)			(5,333)
BEOG	756	30.4	15.2	593	25.9	11.8	320	17.5	6.1	175	12.4	3.2	111	15.4	2.0	21	11.0	0.4
SEOG	217	8.7	4.4	196	8.6	3.9	117	6.4	2.2	48	3.4	0.9	34	4.7	0.6	6	3.1	0.1
State, Local, and Private Scholarship	1,504	60.5	30.3	1,469	64.2	29.2	1,379	75.5	26.5	1,170	83.2	21.7	569	79.0	10.3	162	84.8	3.0
Veterans Benefits	8	0.3	0.2	30	1.3	0.6	11	0.6	0.2	14	1.0	0.3	6	0.8	0.1	2	1.1	0.0
Total Grants	2,485			2,288			1,827			1,407			720			191		

NOTE: The number in parenthesis is the mean Total College Costs for the corresponding Parental Income and Institutional Cost categories in dollars.

Source: Preliminary tabulations from Studies on the Impact of Student Financial Aid Programs, Study B: Impact of Student Aid and Labor Market Conditions on Access to Post-secondary Education, Institute for Demographic and Economic Studies, Inc., funded by Office of Planning, Budgeting, and Evaluation, Contract #300-75-0382.

It is apparent from Table 2 that the BEOG program contributes substantially to equality of access and choice. The Basic Grant averaged across all first-time, full-time students varies inversely with income and has an important impact in compensating for the low family contributions available to low-income students. As was pointed out earlier with the principal need-based grant programs of the Office of Education, the calculated loan-work burden for schools of a given cost would vary dramatically by income level so that lower income students would face substantially greater financial barriers to both access and choice. With Basic Grants those financial barriers are virtually the same for schools in the same institutional cost range up through a family income level of about $20,000. This holds for all institutional cost levels.

In the latter context it should be noted that while the contribution of BEOG's to the equalization of the loan-work burden occurs at all cost levels, its contribution is greatest (in a relative sense) at the lower levels of institutional costs. However, the two lowest institutional cost levels in Table 2 account for approximately 90 percent of all students. At the higher cost schools, BEOG's play a greater absolute role (i.e., awards are higher) in equalizing loan-work burdens by income level; however, they account for a lower percentage of total cost. Rather at the higher institutional cost levels, State, local, and private scholarships are more important in equalizing financial barriers across family income levels. This is of course in keeping with the greater emphasis in the Basic Grant Program on access and lesser emphasis on choice.

Ongoing and Planned Evaluation Studies:

The Office of Education has recently funded a set of four major national studies which will assess the impact of Federal financial aid on students, postsecondary institutions and State governments. Study A is assessing the impact of Federal and State financial aid programs and policies on the choice process of postsecondary bound students. Study B is examining the way in which market conditions (and perceptions thereof) interact with educational costs and financial aid to influence access to postsecondary institutions. Study C is examining the role of financial aid in student persistence in postsecondary education. Study D is examining the relationship between Federal and State student aid programs and institutional practices in recruiting and admitting students and dispensing financial aid. (Preliminary findings for Study A have been included in the effectiveness section above.)

Sources of Evaluation Data:

Program files, Division of Basic and State Student Grants, Bureau of Postsecondary Education.

Higher Education Panel Survey #27 "Student Assistance Programs", Preliminary Findings, American Council on Education, Washington, D. C., October 1975.

Higher Education Research Institute: Preliminary Tabulations from Studies on Impact of Student Financial Aid Programs, Phase 2, OPBE Contract #300-75-0382.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Supplemental Educational Opportunity Grants Program

Legislation:	**Expiration Date:**
Title IV Subpart A-2, Public Law 92-318, 86 Stat. 251; as amended Public Law 94-482.	September 30, 1979

Funding History:	Year	Authorization	Appropriation
	1974	$200,000,000 1/	$210,300,000
	1975	200,000,000 1/	240,300,000
	1976	200,000,000 1/	240,093,000
	1977	200,000,000 1/	250,093,000
	1978		270,093,000

1/ For initial year grants plus such sums as may be needed for continuing grants.

Program Goals and Objectives:

The purpose of the SEOG program is "to provide, through institutions of higher education, supplemental grants to assist in making available the benefits of postsecondary education to qualified students who, for lack of financial means, would be unable to obtain such benefits without such a grant." The more general related goal of the program is to contribute to the promotion of equality of educational opportunity at the postsecondary level.

Program Operations:

Supplemental Educational Opportunity Grants (SEOG) funds for initial year awards are apportioned among the States in the same ratio as a State's full-time and full-time equivalent enrollment bears to the total national full-time and full-time equivalent enrollment. Continuing awards are allotted in accordance with regulations published by the Commissioner of Education. Grants which are awarded by institutions of higher education are designed to provide additional resources to students whose finances are otherwise insufficient to permit attendance without such a grant. The maximum award is $1,500 per year or one-half of the sum of the total amount of student financial aid provided to such student by the institution--whichever is the lesser. The total amount of funds awarded to any student, over the course of his academic career, may not exceed $4,000--except in those instances where a student is enrolled in a program of study extending over five academic years, or where particular circumstances, as determined by the institution, require that a student spend an additional year completing a program of study which normally requires four academic years. The limit is then set at $5,000. Awards are limited to students who have been accepted as undergraduates at their respective institutions, who maintain satisfactory progress, who are enrolled at least half time, and who would be financially unable to pursue a program of study at such institution without such an award.

Program Scope:

In Fiscal Year 1975, 3,090 institutions participated in the SEOG program. This represented a 6.4 percent increase over institutional participation in the SEOG programs in Fiscal Year 1974. There was a further increase of 10.2 percent in institutional participation in the SEOG program between Fiscal Year 1975 and Fiscal Year 1976 with 3,406 institutions participating in the latter fiscal year. During these years, the largest percentage increase was in the public sector, with institutional participation increasing by 2.2 percent to 1,290 public schools. Proprietary schools increased only slightly, from 843 to 848. In Fiscal Year 1977, the number of participating institutions increased to 3,549--an increase of 4.2 percent. Of this number, 1,306 were private schools, including 994 proprietary. Although private institutions contribute 36.8 percent of participating institutions they receive only about 34.2 percent of the funds.

In Fiscal Year 1977, public universities received 35.0% of the funds made available. Other public four-year institutions received 6.6%; public two-year colleges, 13.8%; public vocational-technical schools, 1.3%; private universities, 13.9%; other four-year private institutions, 17.5%; private two-year schools, 2.8%, and proprietary schools, 8.2%. This distribution does not differ substantially from previous years. Program data indicate that approximately 445,000 students received average grants of $524.

In Fiscal Year 1974 there were recommended institutional funding levels for SEOG aid of $468,095,414. By Fiscal Year 1975 recommendations had decreased slightly to $458,814,123 and in Fiscal Year 1976 they had increased to $516,442,717 while appropriations remained at less than half of those figures. Recommended requests for Fiscal Year 1977 totaled $597,609,475. The appropriation for use during Fiscal Year 1977 was $240,093,000.

Program Effectiveness and Progress:

Preliminary data for 1976-77 indicate that the SEOG program is generally working in the direction of equality of access and choice along the student dimensions of sex, income, and minority status. [1] With respect to the sex characteristic, it is interesting that substantially over half the awards go to females at all institutions except private universities and even at the latter, women receive a percentage of SEOG's

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[1] The HEP Survey did not include proprietary or public vocational schools which accounted for a total of 8.3% of all funds in FY 1976.

(42.9%) which exceeds their proportion in the total enrollment at these institutions. The percentage of minority students receiving Supplemental Grants is 39.0 percent for all institutions, which is far in excess of their percentage of total enrollment. In the public sector, two-year institutions showed the greatest percentage of minority SEOG recipients (48.4%) and public universities the least (36.5%). In the private sector, a different pattern emerges with the lowest percentage of recipients of minority status in two-year institutions (23.6%) and the highest in universities (37.2%).

The following table gives the percentage distributions of SEOG awards by income and dependency status. Well over half the awards at all institutions are received by dependent students with family incomes of less than $7,500. While there are some differences by type within the public and private sectors the pattern referred to above does not differ substantially between sectors.

Table 1
Characteristics of Participants in the Supplemental
Opportunity Grant Program by Type and Control of Institution, 1976-77
(In percentages)

		Public Institutions			
Characteristics	Total All Institutions	Total	Two-Year	Four-Year	University
Dependent Undergraduates					
Family Income					
Less than $7,500	35.4	34.9	37.5	34.3	32.6
$7,501 - 11,999	20.5	18.7	13.1	20.2	23.4
More than 11,999	18.6	14.3	7.9	16.8	18.3
Independent Undergraduates	25,6	32.1	41.5	28.8	25.6
	100.0	100.0	100.0	100.0	100.0
		Private Institutions			
Dependent Undergraduates					
Family Income					
Less than $7,500		38.3	43.3	32.8	37.0
$7,501 - 11,999		23.6	22.4	23.1	26.2
More than 11,999		26.3	15.0	27.7	29.0
Independent Undergraduates		14.0	9.3	16.4	7.8
		100.0	100.0	100.0	100.0

Table 2
Percentage and Amount of Total College Costs from Nonreturnable Grant Aid Sources by Parental Income and Institutional Cost for First-Time, Full-Time, Students
Fall 1975

Institutional Cost and Source	Parental Income: $0-6,000			$6,001-10,000			$10,001-15,000			$15,001-20,000			$20,001-30,000			$30,001 or More		
	Amount	% TG	% TC	Amount	% TG	% TC	Amount	% TG	% TC	Amount	% TG	% TC	Amount	% TG	% TC	Amount	% TG	% TC
Cost: $0 - 1,500			(2,123)			(2,143)			(2,164)			(2,294)			(2,527)			(2,938)
BEOG	567	60.6	26.7	375	51.9	17.5	143	35.9	6.6	60	24.2	2.6	29	19.0	1.2	20	19.8	0.7
SEOG	86	9.2	4.0	58	8.0	2.7	26	6.5	1.2	12	4.8	0.5	5	3.3	0.2	4	4.0	0.1
State, Local, and Private Scholarship	215	23.0	10.1	220	30.4	10.3	177	44.5	8.2	141	56.9	6.2	95	62.1	3.8	55	54.5	1.9
Veterans Benefits	68	7.2	3.2	69	9.6	3.2	52	13.1	2.4	35	14.1	1.5	24	15.7	1.0	22	21.8	0.8
Total Grants	936			722			398			248			153			101		
Cost: $1,501 - 2,000			(3,337)			(3,443)			(3,528)			(3,627)			(3,774)			(3,960)
BEOG	784	43.4	23.5	589	38.7	17.1	295	26.6	8.2	167	21.3	4.6	104	20.8	2.8	33	17.6	0.8
SEOG	184	10.2	5.5	168	11.0	4.9	104	9.4	2.9	51	6.5	1.4	25	5.0	0.7	9	4.8	0.2
State, Local, and Private Scholarship	633	35.1	19.0	648	42.5	18.8	631	56.9	17.6	519	66.3	14.3	330	66.0	8.7	120	64.2	3.0
Veterans Benefits	167	9.3	5.0	119	7.8	3.4	79	7.1	2.2	46	5.9	1.3	41	8.2	1.1	25	13.4	0.6
Total Grants	1,806			1,524			1,109			783			500			187		
Cost: $2,001 - 2,500			(4,153)			(4,168)			(4,253)			(4,245)			(4,425)			(4,697)
BEOG	708	36.7	17.1	547	31.4	13.1	284	21.7	6.7	180	19.0	4.2	101	18.9	2.3	25	18.5	0.5
SEOG	205	10.6	4.9	218	12.5	5.2	116	8.9	2.7	64	6.7	1.5	22	4.1	0.5	4	3.0	0.1
State, Local, and Private Scholarship	987	51.1	23.8	929	53.3	22.3	876	66.8	20.6	690	72.6	16.3	400	74.9	9.0	100	74.1	2.1
Veterans Benefits	32	1.7	0.8	49	2.8	1.2	35	2.7	0.8	16	1.7	0.4	11	2.1	0.3	6	4.4	0.1
Total Grants	1,932			1,743			1,311			950			534			135		
Cost: $2,501 - 3,000			(4,424)			(4,471)			(4,595)			(4,878)			(5,097)			(5,130)
BEOG	705	35.5	15.9	502	28.3	11.2	294	21.4	6.4	176	15.7	3.6	155	17.1	2.3	25	14.8	0.5
SEOG	173	8.7	3.9	167	9.4	3.7	106	7.7	2.3	63	5.6	1.3	35	5.2	0.7	4	2.4	0.1
State, Local, and Private Scholarship	1,085	54.6	24.5	1,058	59.6	23.7	953	69.2	20.7	871	77.6	17.9	518	77.0	10.2	133	78.7	2.6
Veterans Benefits	23	1.2	0.5	48	2.7	1.1	24	1.7	0.5	12	1.1	0.2	5	0.7	0.1	7	4.1	0.1
Total Grants	1,986			1,775			1,377			1,122			673			169		
Cost: $3,001 - 4,000			(4,959)			(5,029)			(5,212)			(5,395)			(5,535)			(5,333)
BEOG	756	30.4	15.2	593	25.9	11.8	320	17.5	6.1	173	12.4	3.2	111	15.4	2.0	21	11.0	0.4
SEOG	217	8.7	4.4	196	8.6	3.9	117	6.4	2.2	48	3.4	0.9	34	4.7	0.6	6	3.1	0.1
State, Local, and Private Scholarship	1,504	60.5	30.3	1,469	64.2	29.2	1,379	75.5	26.5	1,170	83.2	21.7	569	79.0	10.3	162	84.8	3.0
Veterans Benefits	6	0.3	0.2	30	1.3	0.6	11	0.6	0.2	14	1.0	0.3	6	0.8	0.1	2	1.1	0.0
Total Grants	2,485			2,288			1,827			1,407			720			191		

NOTE: The number in parenthesis is the mean Total College Costs for the corresponding Parental Income and Institutional Cost categories in dollars.

Source: Preliminary tabulations from Studies on the Impact of Student Financial Aid Programs, Study B: Impact of Student Aid and Labor Market Conditions on Access to Postsecondary Education, Institute for Demographic and Economic Studies, Inc., funded by Office of Planning, Budgeting, and Evaluation, Contract #300-75-0382.

While definitive conclusions will have to await further data on numbers of students who would not have attended postsecondary education without a SEOG award and a more detailed breakdown of average award size by student characteristics, it is reasonably apparent that the impact of the SEOG program is in the direction of greater equality of access and choice along the student dimensions of sex, income and minority status.

Table 2 provides an indication of how SEOG's fit into the overall picture of grant aid for first-time, full-time students. While BEOG's and combined State, local, and private both constitute a larger proportion of the typical award package than does SEOG, the latter is still somewhat greater than Veterans benefits for this student group. At first blush this may be somewhat surprising given the far greater total amount of money in the Veterans program. The reason for this apparent anomaly is that Veterans are typically neither "first-time" nor "full-time."

It is apparent from these data that SEOGP contributes to the equalization of both access and choice. Being distributed on a need basis, SEOG awards vary inversely with parental income and thereby contribute to the equalization of loan-work burdens across income levels. Awards also increase with institutional cost and in this way contribute to the choice. The greater importance of the choice goal in the distribution of SEOG awards when compared to BEOG is indicated by the fact that SEOG awards as a percentage BEOG awards tend to increase with institutional cost. SEOG's are typically in the neighborhood of 15 percent of basic grants at the lowest cost levels and about 30 percent at the highest cost levels.

Ongoing and Planned Evaluation Studies:

The Office of Education has funded a set of four major national studies which will assess the impact of Federal financial aid on students, postsecondary institutions and State governments. Study A is assessing the impact of Federal and State financial aid programs and policies on the choice process of postsecondary bound students. Table 2 offers preliminary data from Study A. Study B is examining the way in which market conditions (and perceptions thereof) interact with educational costs and financial aid to influence access to postsecondary institutions. Study C is examining the role of financial aid in student persistence in postsecondary education. Study D is examining the relationship between Federal and State student aid programs and institutional practices in recruiting and admitting students and dispensing financial aid.

Sources of Evaluation Data:

U.S. Department of Health, Education, and Welfare, Office of Education, Bureau of Higher Education Factbook.

Program files, Division of Basic Grants, Division of Student Support and Special Programs.

Higher Education Panel Survey #27, "Student Assistance Programs", Preliminary Findings, American Council on Education, Washington, D. C., October 1975.

Higher Education Research Institute: Preliminary Tabulations from *Studies on Impact of Student Financial Aid Programs*, Phase 2, OPBE Contract #300-75-0382.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

State Student Incentive Grant Program

Legislation:

Title IV, Subpart A-3 of the Higher Education Act; as amended Public Law 92-318; as amended Public Law 94-482.

Expiration Date:

September 30, 1979

unding History:	Year	Authorization	Appropriation
	1973	$50,000,000 1/	None
	1974	50,000,000 1/	$19,000,000
	1975	50,000,000 1/	20,000,000
	1976	50,000,000 1/	44,000,000
	1977	50,000,000 1/	60,000,000
	1978		63,750,000

1/ Plus such sums as may be needed for continuation grants.

Program Goals and Objectives:

The SSIG program is designed to encourage States to develop or expand programs of grant aid to help undergraduate students with "substantial financial need" who attend eligible postsecondary institutions. As with other Federal student assistance programs, SSIG contributes to, and provides an incentive for States to contribute to, the longer term goal of equality of educational opportunity.

Program Operations:

SSIGP is a 50-50 cost-sharing (State-Federal) program under which Federal funds are allotted/reallotted to the States based on a formula reflecting current student attendance patterns. Reallotment is permitted if a State does not use its current allotment. Disbursements are made directly from the Federal Government to the States and from the States to postsecondary institutions on behalf of students. While States are responsible for the selection of grant recipients, selection criteria are subject to review by the Commissioner, and individual student grants are limited to $1,500 per academic year. A State may employ any distribution procedure that falls within the overall scope of the statute.

States are required to administer the funds through a single State agency, with no Federal allowance for administrative costs. To ensure maintenance of effort, State matching for initial student awards must be in excess of the amounts the State spent for grants two fiscal years prior to the year the State initially received aid under the SSIG program.

Program Scope:

Fifty-six States and territories are potentially eligible for matching grants under the SSIG program. In FY 1974, the first year of SSIG operation, scholarship programs were expanded in 27 States, and completely new programs were established in 14 States and territories. The following year, 9 new States and the District of Columbia joined the network of jurisdictions with operational State scholarship programs. 54 States and territories were included in the SSIG network in 1976.

Under the definition of "substantial financial need," States have a wide latitude in their selection of grant recipients. Students from both low and middle incomes may receive grants under this definition. In FY 1975, an estimated 80,000 students received average grants of $500 ($250 Federal funds). In FY 1976, awards averaging $500 went to an estimated 176,000 students, including two continuation classes and a new round of initial student grantees. The pattern of support for four full undergraduate classes will be reached in FY 1977.

Program Effectiveness and Progress:

The limited data available with which to assess the effectiveness of the SSIG program suggest that the program has been highly successful in stimulating the development of a network of State scholarship programs for the delivery of financial aid to students. The number of States with such programs almost doubled during the first two years of SSIG operations. At the end of FY 1976, only Guam remained outside the SSIG delivery system. In September 1975, Joseph D. Boyd, of the National Association of State Scholarship/Grant Programs, reported that the level of State funding for student aid had risen dramatically over the years SSIGP had been in effect. Boyd's estimates for Fiscal Year 1976 show a rise of 13.1 percent over the previous year compared to a rise of 10.9 percent a year earlier, suggesting that States are making an attempt to keep up with the rate of inflation.

In 1975-76, students with family income levels below $6,000 accounted for 36% of the funds and comprised 36% of the recipients. At the other end of the spectrum, middle income students (above $15,000) accounted for 15% of the funds and 15% of the student recipients. Student awards (Federal plus State) averaged $1,000 or more in 4 States, and maximum awards above $1,000 were reported by 25 States. On the other hand, awards averaged under $250 in 7 States. Not counting 2 States where SSIG awards were level funded at less than $100, the national average was $566. By types of institutions, awards for students at public colleges and universities accounted for 59.9%

of the recipients and 44.4% of the funds. Awards for students at private colleges and universities accounted for 38.6% of the recipients and 53.0% of the funds. Proprietary schools accounted for 1.1% of the recipients and 2.3% of the funds. A detailed breakdown of SSIG awards by institution type and family income levels for 1975-76 is provided in Table 1.

Table 1

SSIG Awards by Type of Institution and by Family Income Levels, 1975-76 Academic Year

Type of Institution	Percents		Family Income Levels	Percents	
	Students	Funds		Students	Funds
Public	59.9	44.4	$ 0 - $ 5,999	36.1	35.9
Four-Year	(49.0)	(36.1)	$ 6,000 - $ 8,999	18.8	20.4
Two-Year	(10.9)	(8.3)	$ 9,000 - $11,999	16.4	15.9
Private	38.6	53.0	$12,000 - $14,999	13.8	12.8
Four-Year	(37.0)	(51.5)	$15,000 - $19,999	11.8	11.2
Two-Year	(1.6)	(1.5)	$20,000 and over	3.1	3.8
Proprietary	1.1	2.3			
Other	.4	.3			

Source: SSIG Program files.

Out of the 54 States participating in FY 1976, eligibility included both public and private institutions in 49 States, both two-year and four-year institutions in 52 States, and proprietary institutions in 28 States. Costs covered by student grants included tuition and fees in 53 States, room and board in 41 States, and books and other costs in 41 States. Part-time students were eligible in 21 States and awards were portable to out-of-State institutions in 8 States and 4 territories. The remarkable expansion of institutional and student eligibility that has taken place since the program's inception is indicated in Table 2.

Table 2

Student/Institutional Eligibility for SSIG Awards

	Number States Reporting	
	FY '74 Network	FY '76 Network
Institutions with Students Eligible		
Total States joining SSIG	41	54
Both Public and Private institutions	35	49
Public institutions only -		
Colorado, Nebraska, Utah, Virginia in '74	4	--
Hawaii, Montana, Colorado in '76	--	3
Private institutions only -		
Maine, South Carolina, Texas in '74	3	--
Maine, New Mexico, South Carolina in '76	--	3
Two-Year as well as Four-Year institutions	37	52
Proprietary schools	12	28
Student Eligibility and Costs Covered		
Part-time students	11	21
Portable to out-of-State institutions 1/	11	12
Tuition and fees	40	53
Room and board	26	41
Books and other costs	23	41

1/ Six other States have reciprocity arrangements for undergraduates.

Source: SSIG Program files.

Ongoing and Planned Evaluation Studies:

The Office of Education has funded a set of four major national studies which will assess the impact of Federal financial aid on students, postsecondary institutions and State governments. Study A is assessing the impact of Federal and State financial aid programs and policies on the choice process of postsecondary bound students. Study B is examining the way in which market conditions (and perceptions thereof) interact with educational costs and financial aid to influence access to postsecondary institutions. Study C is examining the role of financial aid in student persistence in postsecondary education. Study D is examining the relationship between Federal and State student aid programs and institutional practices in recruiting and admitting students and dispensing financial aid.

The Office of Education is also under contract with the Education Commission of the States for a study to evaluate SSIGP itself from a programmatic viewpoint. This study will attempt to determine the relative efficiency of various patterns of State administration in student aid programs utilizing SSIG funds, how State needs analysis practices are interrelated with those used in institutions, how aid is packaged for SSIG recipients, under what conditions grants are portable, problems and potential in expanding eligibility of institutions and students to meet legal requirements, and how consistent the State programs are with respect to other Federal based student aid.

Sources of Evaluation Data:

The Chronicle of Higher Education, September 29, 1975, Vol. XI, No. 3.

Higher Education Panel Survey #27, "Student Assistance Programs", Preliminary Findings, American Council on Education, Washington, D. C. October 1975.

SSIG Program Operations, FY 1974 (End-of-Year Update of Program operation data from Financial Status and Performance Reports of Participating States).

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

College Work-Study Program

Legislation: **Expiration Date:**

Public Law 89-329 of the Higher Education Act of 1965, Title IV-C; as amended Public Law 94-482.

September 30, 1982

Funding History:

Year	Authorization	Appropriation 1/
1965	2/	$ 55,710,000
1966	$129,000,000	99,123,000
1967	165,000,000	134,100,000
1968	200,000,000	139,900,000
1969	225,000,000	139,900,000
1970	275,000,000	152,460,000
1971	320,000,000	158,400,000 3/
1972	330,000,000	426,600,000 4/
1973	360,000,000	270,200,000
1974	390,000,000	270,200,000
1975	420,000,000	420,000,000
1976	420,000,000	390,000,000
1977	450,000,000	390,000,000
1978	510,000,000	435,000,000

1/ Up until FY 1972, the CWS Fiscal Year appropriation was used to fund program operations during the calendar year. With FY 1972, the program became one full year forward-funded.

2/ The Economic Opportunity Act of 1964 authorized a lump sum of $412,500,000 for three youth programs including College Work-Study.

3/ Actual funds available for CWS in this year amounted to $199,700,000, including reprogrammed funds.

4/ Includes $244,600,000 forward funding for FY 1973, plus a supplemental of $25,600,000. A total of $237,400,000 was available for use during FY 1972 from a combination of FY 1971 and FY 1972 appropriations.

Program Goals and Objectives:

The objective of CWSP under the legislation in effect in FY 1977 was to stimulate and promote the part-time employment of students with great financial need in eligible institutions who need earnings from employment to finance their courses of study. By subsidizing the part-time employment of needy students the program contributes to the longer term Federal goal of equality of educational opportunity at the postsecondary level. The qualitative and quantitative dimensions of the goal of equality of educational opportunity are discussed in the Overview of Postsecondary Education.

Program Operations:

Under the legislation in effect in FY 1976 employment partially financed by College Work-Study funds could be made available in public or private non-profit organizations including the institution in which a student is enrolled. Students were able to work up to 40 hours per week. The Education Amendments of 1976 extended eligible institutions to proprietary institutions also.

Grants were made to higher education institutions for partial reimbursement of wages paid to students. Since August 1968, these Federal grants have covered up to 80 percent of the student wages, with the remainder paid by the institution, the employer, or some other donor.

Two percent of each year's appropriation was reserved for Puerto Rico, Guam, American Samoa, the Virgin Islands, and the Trust Territory of the Pacific Islands. A portion was also reserved for students from American Samoa/Trust Territories who attend eligible institutions of postsecondary education outside Samoa or the Trust Territory. The rest was allotted among the 50 States and the District of Columbia, 51 areas, by formula. The formula was based on three factors:

(1) The number of full-time higher education students each area has relative to the total number for the 51 areas.

(2) The number of high school graduates each area has relative to the total number for the 51.

(3) The number of related children under 18 years of age living in families with income of less than $3,000 each area has relative to the total number for 51.

Program Scope:

During Academic Year 1976-77, 3,230 institutions of postsecondary education participated in the CWS program enabling approximately 895,000 students to find part-time employment. The average annual student earnings, including the institutional matching share, amounts to an estimated $525 per student. About 18 percent of CWS funds help finance off-campus jobs held by 16 percent of the CWS job holders. Gross compensation earned by students was almost $470 million.

It is estimated by the CWSP staff that, during Academic Year 1976-77, CWSP funds were distributed to institutions as follows: public universities, 11%; other four-year public, 5%; public two-year, 23%; private universities, 12%; other four-year private, 23%; private two-year, 8%; public vocational, 6%, and proprietary, 12%. Ninety four percent of the funds went to undergraduates while 6% was awarded to students at the post-baccalaureate level.

In FY 1975, the last year such data was available, the CWS recipients had the following ethno-racial breakdown: 25.3 percent Black, 0.7 percent American Indian or Alaskan Native, 0.9 percent Asian or Pacific Islanders, 7.5 percent Hispanic and 65.5 percent White (not of Hispanic origin).

For FY 1977, panels approved $669,751,000 in institutional requests as compared with $390,000,000 actually available for distribution to schools.

Program Effectiveness and Progress:

The CWSP appears to be effective in stimulating the employment of needy students. However, any definitive finding must await data showing how many students would not have found employment in the absence of CWSP. The program is unquestionably popular with postsecondary institutions both as a student aid program and as a means of providing a pool of highly subsidized labor. This pool is also welcomed by other participating non-profit institutions.

With respect to the Federal goals of equality of access and choice the program appears to be somewhat successful in promoting these ends. A survey in April 1975 indicates that well over half (54.0%) of CWSP participants at all eligible institutions were female, 32.6 percent were from ethnic minorities, and 38.5 percent were dependent undergraduates with family incomes less than $7,500 (see Table 1 below) [1]. These percentages are substantially in excess of the percentages in total enrollment in traditional postsecondary institutions of students with these characteristics. Nonetheless, in that the program is designed to benefit students in great financial need it is somewhat surprising that its impact on minority and low-income students is substantially less than that of the Basic Grant and Supplemental Grant Programs. Over 17 percent of CWS recipients are dependent undergraduates with family incomes in excess of $11,999, while the comparable percentages for BEOGP and SEOGP are 7.3 and 5.3 respectively. In terms of minority status, 67.5 percent of CWS participants are from non-minority groups compared to about 52 percent for BEOGP and SEOGP. Thus, CWSP is clearly more middle class and non-minority in its practical orientation than are the two grant programs. It should be noted that the survey data upon which these percentages are based do not differ appreciably from unedited program data for FY 1974.

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[1] The study (Higher Education Panel Survey No. 27) did not include proprietary or public vocational schools which received 18% of all work study funds in FY 1976.

TABLE 1

Characteristics of Participants in the College Work-Study Program by Type and Control of Institution, 1974-75 1/
(In percentages)

		Public Institutions			
Characteristics	Total All Institutions	Total	Two-Year	Four-Year	University
Dependent Undergraduates					
Family Income					
Less than $7,500	38.5	41.2	44.9	42.4	33.8
$7,500 - 11,999	25.9	24.8	23.3	26.3	23.6
More than 11,999	17.2	10.9	8.3	11.7	12.4
Independent Undergraduates	14.5	19.1	23.5	16.1	20.0
Graduate Students	3.9	4.0	0	3.5	10.2
	100.0	100.0	100.0	100.0	100.0
		Private Institutions			
Dependent Undergraduates					
Family Income					
Less than $7,500		33.6	47.8	33.7	26.4
$7,500 - 11,999		28.0	34.3	27.8	26.0
More than 11,999		28.3	13.2	29.0	32.0
Independent Undergraduates		6.3	4.7	6.7	5.0
Graduate Students		3.8	0	2.8	10.6
		100.0	100.0	100.0	100.0

1/ Based on findings of the Higher Education Panel Survey No. 27.

More recent data from the Higher Education Research Institute's Studies on Impact of Student Financial Aid Programs indicate that the percentage and amount of college expenses financed by all student work and by College Work-Study jobs for first-time and full-time freshmen in the Fall 1975 range from 12 to almost 20 percent of total student expenses for students from families with incomes of $20,000 or less. Work-Study accounted for from one-fourth to one-half of all earnings with low income groups receiving more Work-Study funds both in real and relative terms. Further as Table 2 shows, students in the middle income range finance a greater proportion of their expenses with job earnings than do students at either the lower end or higher end of the income scale.

TABLE 2

Percentages and Amount of Total College Costs From Work Sources of Support by Parental Income and Institutional Cost for First-Time, Full-Time Students Fall 1975

Institutional Cost and Source	Parental Income											
	$0-6,000		$6,001-10,000		$10,001-15,000		$15,001-20,000		$20,001-30,000		$30,001 or More	
	Amount	%	Amount	%	Amount	%	Amount	%	Amount	%	Amount	%
Cost: $0 - 1,500												
CWS	112	5.0	89	4.0	56	2.6	33	1.4	15	.6	9	.3
Other Work	224	10.6	302	14.1	363	16.8	391	17.1	484	15.1	342	11.7
Total Work	336	15.6	391	18.1	419	19.4	424	18.5	499	15.7	351	12.0
Cost: $1,501 - 2,000												
CWS	174	5.2	174	5.1	134	3.7	108	3.0	62	1.6	12	.3
Other Work	249	7.5	341	9.9	411	11.4	448	12.4	433	11.5	330	8.3
Total Work	423	12.7	515	15.0	545	15.1	556	15.4	495	13.1	342	8.6
Cost: $2,001-2,500												
CWS	213	5.1	224	5.4	166	3.9	128	3.0	62	1.4	10	.2
Other Work	248	5.9	291	6.9	377	8.8	397	9.3	412	9.3	306	6.5
Total Work	461	11.0	515	12.3	543	12.7	525	12.3	474	10.7	316	6.7
Cost: $2,501 - 3,000												
CWS	250	5.6	222	5.0	208	4.5	162	3.3	90	1.8	12	.2
Other Work	253	5.7	365	8.2	409	9.5	467	9.5	410	8.0	285	5.6
Total Work	503	11.3	587	13.2	617	14.0	629	12.8	500	9.8	297	5.8
Cost: $3,001 - 4,000												
CWS	289	5.8	297	5.9	222	4.3	158	3.1	108	2.0	13	.2
Other Work	325	6.6	346	6.8	388	7.4	486	9.4	432	7.8	282	5.3
Total Work	614	12.4	643	12.7	610	11.7	644	12.5	540	9.8	295	5.5

Source: Preliminary tabulations from studies on the Impact of Student Financial Aid, Higher Education Research Institute, Los Angeles, California, Office of Planning, Budgeting, and Evaluation Contract #300-75-0382.

Ongoing and Planned Evaluation Studies:

The Office of Education, as noted last year, funded a set of four major national studies which will assess the impact of Federal financial aid on students, postsecondary institutions and State governments. Study A is assessing the impact of Federal and State financial aid programs and policies on the choice process of postsecondary bound students provided information for Table 2. Study B is examining the way in which market conditions (and perceptions thereof) interact with educational costs and financial aid to influence access to postsecondary institutions. Study C is examining the role of financial aid in student persistence in postsecondary education. Study D is examining the relationship between Federal and State student aid programs and institutional practices in recruiting and admitting students and dispensing financial aid.

Sources of Evaluation Data:

Program files, Bureau of Postsecondary Education.

Higher Education Panel Survey #27, "Student Assistance Programs", American Council on Education, Washington, D. C., October 1975.

Bureau of Applied Social Research, The Federal College Work-Study Student Assistance Programs, Fall 1971, Washington, D. C., 1974.

Higher Education Research Institute: Preliminary Tabulations from Studies on Impact of Student Financial Aid Programs, Phase 2, OPBE Contract #300-75-0382.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Cooperative Education Program

Legislation:	**Expiration Date:**
Authorization: Higher Education Act of 1965 (Title VIII), Public Law 89-329, as amended by P.L. 90-575, October 16, 1968; and P.L. 92-318, June 23, 1972; and P.L. 94-482, October 12, 1976. 1/	September 30, 1982

1/ It should be noted that effective October 12, 1976, legislation applicable to this program removed the Cooperative Education program from Title IV, Part D of Higher Education Act and reestablished it under Title VIII of the Higher Education Act.

Funding History:

Year	Authorization	Appropriation
1970	2/	$ 1,540,000
1971	2/	1,600,000
1972	$10,750,000	1,700,000
1973	10,750,000	10,750,000
1974	10,750,000	10,750,000
1975	10,750,000	10,750,000
1976	14,000,000	10,750,000
1977	16,500,000	12,250,000
1978	22,500,000	15,000,000

2/ One percent of the College Work-Study appropriation was authorized to be used in support of Cooperative Education programs at higher education institutions.

Program Goals and Objectives:

The primary objective of this program is to assist institutions of higher education to establish, strengthen or expand Cooperative Education programs which alternate periods of academic study with periods of career related work experiences. The purpose of such programs is to provide a series of work experiences related to educational or career objectives which are developed and incorporated by the educational institution as an integrated and essential feature of the educational curriculum of the particular college or university.

The legislation for this program in addition authorizes grants or contracts for training and research, the purpose of which is to train Cooperative Education administrators and to seek methods of improving Cooperative Education programs.

Program Operations:

Under the Cooperative Education program, as amended and provided for under Title VIII of the Higher Education Act, grants are awarded to institutions on a proposal basis, with an institution eligible to apply for annual grants for up to five years. Awards to an individual institution cannot exceed $175,000 in any one year and funds must not be used as compensation for student employment. Salaries and other administrative expenses for Cooperative Education administrators are payable from grant funds.

The institutions of higher education assume the responsibility for assigning the student to a job relevant to his academic program and providing supervision during the work period. The institution evaluates, with employer input, the student's job performance and in most cases awards academic credit for the work experience. Cooperative Education is an academic program and, is recorded on the transcript.

Program Scope:

One-third of the Nation's institutions of higher education have Cooperative Education programs (1970: 195, 1977: 1,040). Three-fourths of these Coop colleges and universities have received Federal grant support which of course impacts on a much smaller percentage of Coop students inasmuch as new programs in general are smaller than older more established ones. During the eight-year period when such funds could be applied for, fifty percent of the applicants were successful in obtaining grants. The amount granted, however, was approximately two-thirds of the amount requested.

In FY 1977, 656 proposals from 688 institutions were submitted. They requested $36,406,000. With an appropriation of $12.25 million, 267 grants were awarded to 288 institutions. Nineteen of these grantees received funds for training (14 for a total of $725,000) and research (5 for a total of $275,000). Nearly half of the institutions are two-year publics, slightly over one-fourth are four-year public institutions. Thus 75.7% of the grantees this year are public institutions. The number of private institutions having Coop programs remains about the same year by year while additional community colleges are starting Cooperative Education programs. This is due in great part to the recent legislative change allowing parallel Cooperative Education programs to be funded.

Program Effectiveness and Progress:

Applied Management Sciences is conducting a nationwide mandated study of Cooperative Education. To date, they have completed two products of interest--one is the Bibliography and the other is the Federal Effectiveness Report.

The annotated Bibliography is a product of a critical review of literature. Generally the studies reviewed fell into one of several categories; assessment of a single program, assessment of several programs and feasibility studies. The reviewers determined that many of these studies were suspect or not too useful for a variety of reasons. Single programs were frequently reviewed by the program head who could not fail to be biased. Researchers who conducted studies of several programs also frequently appeared to be biased. Feasibility studies more often than not appeared to have been preceded by the decision that a program was feasible. Many of the program commentaries were written with the express purpose of gaining support.

The Federal Effectiveness Report showed that the Federal program is in general well run. Highly rated proposals submitted to request Title IV-D funding were invariably funded and the lowest rated ones were not. Other significant findings include the fact that geographic distribution of the earlier awards was skewed to the South because of the encouragement given to Title III institutions to apply and because the Title III and Title IV-D programs were formerly under the same administration. Another finding was that if an institution rated highly enough to be funded one year, it frequently was rated highly and funded for the two subsequent years.

A number of recommendations for improved administration were suggested by the contractor. These included: (1) evaluation criteria should be included in the application forms so that all applicant institutions would know how their proposals would be judged. (2) Parts of rating sheets should be assigned a numerical value and a total computed. This procedure would permit a rank ordering of submitted proposals. If awards deviated from this order an explanation would be required. (3) More up-to-date institutional data should be collected including projected Cooperative Education enrollment for the next year.

A chapter of the main report entitled Analysis of Coop Student Employer Costs and Benefits has been accepted and was reported on at the Annual Cooperative Education meeting in Philadelphia in April 1977. In this chapter, eight different kinds of costs (both direct and indirect) incurred by Coop employers were considered. Comparisons were made between those for Coop students and those for regular employers except, of course, in the case of program start up costs which are not associated with regular employees.

It was found that evaluation costs are higher for Coop students than they are for regular employers. However, all compensation costs--wages, fringe benefits, vacations, sick leave, etc., were less for Coop students. Some costs are about the same for Coop students and regular employees. These include employee turnover costs, union negotiation costs and supervision costs.

Ongoing and Planned Evaluation Studies:

Applied Management Sciences of Silver Spring, Maryland is conducting a congressionally mandated nationwide study of Cooperative Education. The field work has been completed and data analysis will begin shortly. The final report should be available by June 15, 1977.

Sources of Evaluation Data:

Program files, Bureau of Postsecondary Education

Applied Management Sciences: Report on Federal Funding Patterns; An Annotated Bibliography

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Guaranteed Student Loan Program

Legislation:

Title IV-B, Higher Education Act of 1965, as amended, Public Law 89-329, as amended; Public Law 91-95, as amended; Public Law 94-482, as amended.

Expiration Date:

September 30, 1981

Funding History:

Year	Loan Volume	Obligations 1/	Appropriation 1/
1966	$ 77,492,000 2/	$ -	$ 9,500,000 2/
1967	249,235,000 2/	15,632,000	43,000,000 2/
1968	459,377,000 2/	39,937,000	40,000,000 2/
1969	686,676,000	60,571,000	76,400,000
1970	839,666,000	118,387,000	74,726,000
1971	1,043,991,000	135,616,000	163,400,000
1972	1,301,577,000	228,708,000	212,765,000
1973	1,198,523,000	304,237,000	291,640,000
1974	982,000,000 3/	422,581,000	398,668,000
1975	1,208,000,000 3/	469,937,000	585,774,000
1976	1,735,000,000 3/	568,627,000	815,525,000
1977	1,470,000,000 3/	538,350,000	366,666,000
1978	1,586,000,000 3/	737,021,000	530,163,000

1/ Includes: advances for reserve funds, expenditures for interest payments, administrative allowances, death and disability claims, special allowance, bankruptcy claims and default claims. Costs for computer services and other S & E items are not included.

2/ Includes loans primarily carried under Vocational Education.

3/ Disbursed loan volume rather than commitments as for prior years.

Program Goals and Objectives:

The objective of the Program is to provide loans to students attending eligible institutions of higher education, vocational, technical, business and trade schools, and eligible foreign institutions. This program is designed to utilize nonfederal loan capital supplied primarily by commercial lenders but also by some educational institutions acting as direct lenders. These loans are guaranteed either by individual State or private nonprofit agencies (reinsured by the Federal government) or directly by the Office of Education. The objective of such guarantees is to provide a substitute for collateral which is generally unavailable from students. This permits lenders to make loans directly to students (not their families) without these students having to establish credit ratings. The goal is to provide the broadest possible access to loan capital without the usual constraints of credit-worthiness and provision of collateral to secure the loan. Such broad access to loan capital is intended to provide freer access by students to postsecondary education and a wider choice in the types of institutions attended. Guaranteed loans are an important supplement to other Office of Education programs of student financial aid, providing low-income students with an additional source of funds and providing many middle and upper middle-income students with their primary source of Federal assistance.

Program Operations:

The principal of the loan is provided by participating lending institutions such as commercial banks, savings and loan associations, credit unions, insurance companies, pension funds, and eligible educational institutions. The loan is guaranteed by a State or private non-profit agency or insured by the Federal government.

Loans are nearly equally divided between those insured by States and reinsured (80 percent) by the Federal government and those directly insured by the Federal government. The following is a description of the program during FY 1976. A student is eligible if he is enrolled and in good standing or accepted for enrollment at least half time at an eligible institution and is a United States citizen or is in the United States for other than a temporary purpose and intends to become a permanent resident thereof. The total aggregate of loans outstanding cannot exceed $7,500 for undergraduate students and $15,000 for graduate students including undergraduate loans. Students are eligible for Federal interest benefits if their adjusted family income is under $25,000. For students found eligible for interest benefits, the Federal government will pay to the lender the total interest due prior to the beginning of the repayment period and during authorized deferment periods thereafter. Students not eligible for Federal interest benefits may still apply for a loan but will have to pay their own interest. The student pays the total interest at an annual percentage rate of 7% during the repayment period which begins 9-12 months after graduation or withdrawal from school. Deferment or repayment of principal is allowed for return to school as a full-time student and up to three years for military service, Peace Corps, or VISTA participation. Minimum repayment period is generally five years, the maximum being ten years. The maximum loan period is fifteen years.

A special allowance is authorized to be paid to lenders when the Secretary determines that economic conditions are impeding or threatening to impede the fulfillment of the purposes of the program and that the return to the lender is less than equitable. The rate which is determined quarterly may not exceed 3% per annum on the average quarterly unpaid balance of principal loans disbursed on or after August 1, 1969.

Several of the above provisions resulted from changes included in the Education Amendments of 1976 (P.L. 94-482). Other major changes are: (1) a series of incentives is provided to encourage more States to form and operate their own guarantee agencies. Existing State guarantee agencies are also given additional compensation in order to carry out specific functions; (2) there are certain limitations on the total annual amount of the loan depending upon the total cost of education at the institution attended by the borrower and upon the policy of the lender in making multiple disbursements of the loan principal; (3) graduate and professional school students may now borrow a total of up to $15,000, rather than $10,000 as previously stated; (4) under certain conditions, State guarantee agencies may be reinsured by the Federal government at 100 percent of losses due to claims for death, disability, and default. This maximum reimbursement is linked to a State agency default rate of 5 percent or less, and the "default rate" for purposes of this provision only is redefined; (5) student loan obligations may not be discharged in bankruptcy within 5 years of the time the repayment of the loan was to have begun; and (6) the Commissioner is authorized to contract with private business firms, State student loan insurance agencies, or State guarantee agencies for assistance in the recovery of defaulted loans.

Program Scope:

Cumulative disbursements insured through FY 1976 are allocated 46 percent to FISLP and 54 percent to State Guarantee Agencies. Loans are provided to students attending 3,799 eligible institutions of higher education, 4,283 vocational, technical, business, and trade schools, and 804 foreign educational institutions. Many different types of institutions participate as lenders in GSLP. By percent of total loan disbursement volume, the following types constituted the major portion of FISLP lending in FY 1975:

Type of Lending Institution	Percentage of FY 1975 Disbursements	
	FISL	GA
National Bank	30.3	36.3
State Bank - FDIC	18.5	29.5
State Bank - Non-FDIC	3.9	1/
Federal Savings & Loan	3.0	5.2
State Savings & Loan	0.9	2.9
Federal Credit Union	2.6	1.6
State Credit Union	1.1	1.2
Mutual Savings Bank	0.4	19.0
Insurance Company	0.7	1/
Academic Institution	6.5	1/
Direct State Loan	9.2	2.2
Funds & Rehab. Corp.	1.5	1.9
Vocational Institution	21.4	0.1
	100.0	100.0

1/ Less than 0.1 of one percent.

In Fiscal Year 1977 an estimated 12,000 institutions were approved and making loans. These lenders made an estimated 450,000 Federal loans as well as an estimated 758,000 State and other loans totalling 1,208,000 disbursed. The total amount of loans disbursements was estimated at $1,735,000. Federal loans disbursements were estimated at $670,000,000 and $1,065,000 for State and other. The amount of the average loan disbursed was $1,436. The foregoing information is subject to revision because the Fiscal Year 1977 fourth quarter figures are currently unavailable. It is the fourth quarter figures (July - September) that represents the highest volume months in the GSLP.

Of the total FY 1977 obligations $221 million are estimated for interest benefits, $104 million for special allowance payments, $4.6 million for death and disability payments, $10.8 million for bankruptcy losses, and $175.2 million for the payment of defaulted claims.

Program Effectiveness and Progress:

Program effectiveness can be partially measured by indicating the distribution of loans among borrowers with different characteristics in order to determine whether use of these loans meets the objective of broad access to loan capital. These distributions can be compared with those of other student assistance programs which are, by design, targeted to students from lower income families. An additional measure of the program's progress is reduction in the default rate.

In FY 1975, 22.8 percent of all borrowers (both dependent and independent students) were from families with adjusted family income less than $3,000, 24.4 percent had family incomes between $3,001 and $6,000, 15.1 percent were from families between $6,001 and $8,000 of incomes, 19.9 percent from families having $8,001 and $11,000 income, 15.7 percent between $11,001 and $14,999, and 2.5 percent with adjusted family income over $15,000. Percentages for the $0-3,000 and $3,001-6,000 income categories are believed to overrepresent the proportion of low-income borrowers participating in the Program. Preliminary evidence suggests that many low-income borrowers are "independent" students whose families have middle and upper-middle income status.

The percent distribution of FISLP loans disbursed by ethno-racial category was: 11.6 percent black; 2.6 percent Spanish American; 0.5 percent Oriental American; and 77.9 percent white; and 7.4 percent not responding. Approximately 66 percent of loans are to males and 34 percent to females. 44 percent of loans go to first year students, 15 percent to second year students, 16 percent to third year students, 14 percent to fourth and fifth year students, and 11 percent to graduate students. The average age of borrowers has been increasing as proprietary schools participated more intensively in the program; 26 percent of all borrowers in FY 1973 were 27 years of age or older. Approximately 57 percent of borrowers were single.

The following table indicates the amount and percentage of total college costs represented by loans of various types. The table shows, for example, that the dollar amount of loans generally increases as institutional cost increases. There is a slight decrease in the percentage dependence on loans at institutions with total costs above $3,500. It is also apparent that percentage dependency on loans generally decreases at parental incomes above approximately $12,500. At the higher cost institutions attended by students in the two highest income categories, percentage dependence on loans is only 10.4 and 3.0 percent, respectively. The table reveals that students with approximate parental incomes of under $15,000 utilize NDSL loans more heavily while larger GSLP utilization is the case for those with family incomes above $15,000. There is no combination of family income and institutional cost for which loans exceed 20 percent of total costs. This would appear to indicate a relatively low preference for borrowing by the college-going population as a whole, and a surprisingly low preference by higher income groups attending expensive institutions.

The default rate for the Federally Insured Student Loan Program has increased in recent years, primarily because of high defaults among borrowers attending Proprietary (vocational) institutions. Default rates increased to 11.2 percent in FY 1976, and to 12.8 percent in FY 1977, and are projected to 13.9 percent in FY 1978.

A Survey of Commercial Lenders in the Guaranteed Student Loan Program was completed in December, 1975 by RMC Research Corporation of Bethesda, Maryland. The study assessed relationships between lenders and borrowers; evaluated data on lender costs; and explored the influence of various factors on the actual and potential participation of lending institutions in GSLP. The study found that commercial lenders were most concerned about low net yields and heavy administrative burdens but that only six percent stated that they were planning to cease making new loans under the program. However, another 12 percent said they would decrease the amount of guaranteed loans made. In addition to low net yield, frequently cited reasons for dissatisfaction were excessive delays in the repayment of claims, too long a repayment period for loans, the administrative burdens associated with high default incidence, and too much unnecessary paper work. A large majority of lenders indicated higher costs for administering GSLP than for other consumer installment loans. However, a very small percentage of lenders stated that no degree of improvement in non-economic conditions would be sufficient to induce them to increase their participation in the program. The study also found that student access to loans is not as broad as had generally been believed. Over 70 percent of the lenders stated that for the student or his parents, having a prior account with the lender was a "very important" consideration in the making of the loan. Almost 53 percent said they always checked the family's credit record and 28 percent checked the school record. While no one of these checks carries the implication of a general system of loan "screening", taken together their use may indicate a basis for restricting loans to some students despite the existence of the guarantee. The study also indicated the difficulties experienced by lenders in trying to convert loans to repayment status following the borrower's completion or termination of his

Amount of Loan and Percent of Total College Costs for Student Loans by Source, Parental Income and Institutional Cost for First-Time, Full-Time, Students Fall 1975

Institutional Cost and Source	Parental Income											
	$0 - 6,000		$6,001 - 10,000		$10,001 - 15,000		$15,001 - 20,000		$20,001 - 30,000		$30,001 or More	
	Amount	%	Amount	%	Amount	%	Amount	%	Amount	%	Amount	%
Cost: $0 - 1,500		(2,123)		(2,143)		(2,164)		(2,294)		(2,527)		(2,938)
GSLP	60	2.8	69	3.2	89	4.1	93	4.1	63	2.5	24	0.8
NDSL	69	3.3	84	3.9	67	3.1	55	2.4	26	1.0	8	0.3
Other Loans	40	1.9	43	2.0	57	2.6	57	2.5	47	1.9	23	0.8
Total Loans	169	8.0	196	9.1	213	9.8	205	8.9	136	5.4	55	1.9
Cost: $1,501 - 2,000		(3,337)		(3,443)		(3,528)		(3,627)		(3,774)		(3,960)
GSLP	248	7.4	290	8.4	381	10.6	315	8.7	249	6.6	68	1.7
NDSL	186	5.6	226	6.6	179	5.0	160	4.4	82	2.2	20	0.5
Other Loans	65	1.9	74	2.1	88	2.5	126	3.5	88	2.3	38	1.0
Total Loans	499	15.0	590	17.1	648	18.1	601	16.6	419	11.1	126	3.2
Cost: $2,001 - 2,500		(4,153)		(4,168)		(4,253)		(4,245)		(4,425)		(4,697)
GSLP	191	4.6	216	5.2	252	5.9	242	5.7	165	3.7	56	1.2
NDSL	353	8.5	348	8.3	310	7.3	228	5.4	97	2.2	18	0.4
Other Loans	87	2.1	85	2.0	117	2.8	130	3.1	102	2.3	42	0.9
Total Loans	631	15.2	649	15.6	679	16.0	600	14.1	364	8.2	116	2.5
Cost: $2,501 - 3,000		(4,424)		(4,471)		(4,595)		(4,878)		(5,097)		(5,130)
GSLP	222	5.0	251	5.6	280	6.1	291	6.0	214	4.2	68	1.3
NDSL	301	6.8	300	6.7	245	5.3	201	4.1	94	1.8	16	0.3
Other Loans	109	2.5	120	2.7	127	2.8	139	2.8	115	2.3	52	1.0
Total Loans	632	14.3	671	15.0	652	14.2	631	12.9	423	8.3	136	2.7
Cost: $3,001 - 4,000		(4,959)		(5,029)		(5,212)		(5,395)		(5,535)		(5,333)
GSLP	194	3.9	209	4.2	271	5.2	311	5.8	297	5.4	79	1.5
NDSL	410	8.3	489	9.7	407	7.8	274	5.1	122	2.2	15	0.3
Other Loans	154	3.1	119	2.4	121	2.3	134	2.5	159	2.9	67	1.3
Total Loans	758	15.3	817	16.2	799	15.3	719	13.3	578	10.4	161	3.0

NOTE: The number in parentheses is the mean Total College Costs for the corresponding Parental Income and Institutional Cost categories in dollars.

Source: Preliminary tabulations from studies on the Impact of Student Financial Aid, Higher Education Research Institute, Los Angeles, California, Office of Planning, Budgeting, and Evaluation Contract #300-75-0382.

course of studies. Lenders cited the absence of timely information on borrowers' change of status and the lack of valid current addresses. A separate survey revealed that 58 percent of defaulters and 26 percent of non-defaulters had last known addresses which were invalid even after extensive follow-up activities. The study also found that borrowers who attend vocational schools which are direct lenders, and borrowers who obtain their loans without face-to-face contact with lenders, have significantly higher than average default rates.

In June, 1976, Systems Group, Inc. of Washington, D. C. completed several separate analyses of the GSLP data base. The first related to the hypothesis that there is a strong inverse correlation between increasing levels of higher education achievement and the default rates of borrowers at these levels. Analysis showed that this hypothesis is partially sustained but that other factors such as total loan burden, income, race, and marital status are much more highly correlated with default than is academic persistence.

The second analysis attempted to assess the extent of lender attrition in the Federally Insured Student Loan Program. Results of this analysis show that the total number of active lenders in FISLP increased to a peak of 5,989 in FY 1972. In FY 1973 the number declined by 4 percent and in FY 1974 by another 10 percent. During this period when total lender participation declined by 14 percent, participation by proprietary schools acting as direct lenders increased from 18.6 percent of all FISLP loans in FY 1972 to 25.3 percent in FY 1974. Analysis also indicated that decline in the total number of participating lenders was greatest among smaller lenders up to $25,000 in annual disbursements but that participation by larger lenders (over $1 million) actually increased between FY 1972 and FY 1976.

The third analysis screened high default rates by borrowers attending institutions which are direct lenders under the program through FY 1975. Such institutions are primarily proprietary schools but numerous private, non-profit institutions are included. With screening criteria set at a minimum 15 percent default rate and at least $100,000 in disbursed loans, over 300 institutions appeared on the list. About two-thirds of these were proprietary institutions and about two-thirds of these were geographically located in OE Regions VI and IX. The number of "very high" default institutions (over 30 percent) was less than 100 and, of these, only about half, or 50, had significant loan volume. Many of these institutions have been terminated by the program and many others have had their lending limits restricted.

Ongoing and Planned Evaluations:

FISLP is utilizing a Research Data Base, an initial version of which was funded by OPBE. The RDB provides historical program data from a sample which is representative of the entire FISLP file to December 31 of the previous calendar year (1975). The RDB can produce basic analysis of the characteristics of borrowers and defaulters, either over the life of the program or for an individual fiscal year. The RDB also contains State Guarantee Agency data which, unlike FISLP borrower and defaulter data, are not considered to be representative of State Guarantee agencies as a group. Such State Guarantee Agency data is being validated and refined.

FISLP is utilizing the Research Data Base as part of the input for the Planning and Budgeting Model which projects operating Program characteristics and costs for current and following year budgets submitted annually to Congress and for the Five-Year Plan which is utilized by DHEW and the Office of Management and Budget. The most important assumptions utilized by the Model are the annual interest benefit and special allowance costs and the costs of insurance and reinsurance of claims for default, death, disability, and bankruptcy. Important income assumptions included in the Model are income from insurance premiums charged on each new loan and income from collections on loans previously defaulted. The accuracy of the model and the validation of data utilized for its assumptions will continue to be evaluated by OGSL with OPBE assistance.

A contract has also been awarded to Cresap, McCormick, and Paget for a Study of Selected Lenders and Borrowers in the Federally Insured Student Loan Program. The focus of this study will be the approximately 130 proprietary schools and institutions of higher education which are direct lenders as well as those banks with which they have a primary relationship. The study will assess the policies and procedures of such institutions with respect to the recruitment, admission, and retention of borrowers and will analyze borrower satisfaction with loan administration and program training.

Sources of Evaluation Data:

Office of Guaranteed Student Loans, Loan Control Master File, FY 1968-75.

Office of Guaranteed Student Loans, Research Data Base. OPBE-contracted study.

RMC Research Corporation, Bethesda, Maryland, Survey of Lenders, December, 1975. OPBE-contracted study.

Systems Group, Inc., Washington, D. C., Analyses of GSLP Data Base OPBE-contracted study.

Higher Education Research Institute, Preliminary Tabulations from Studies on Impact of Student Financial Aid Programs, Phase 2, Study A, OPBE Contract #300-75-0382.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

National Direct Student Loan Program

Legislation:

Title IV, Part E of the HEA 1965 Public Law 89-329, as amended. 1/

Expiration Date:

June 30, 1981

Funding History:	Year	Authorization 2/	Appropriation 3/	
	1966	$179,300,000	$181,550,000	
	1967	190,000,000	192,000,000	
	1968	225,000,000	193,400,000	
	1969	210,000,000	193,400,000	
	1970	325,000,000	195,460,000	
	1971	375,000,000	243,000,000	
	1972	375,000,000	316,600,000	4/
	1973	400,000,000	293,000,000	5/
	1974	400,000,000	298,000,000	
	1975	400,000,000	329,440,000	
	1976	400,000,000	331,960,000	
	1977	400,000,000	323,220,000	
	1978	400,000,000	325,660,000	

1/ Prior to FY 1973, the program was known as the National Defense Student Loan Program. Title II of NDEA of 1958 as amended (P.L. 85-864).

2/ Authorization for Federal capital contributions to loan funds only. In addition, a total of $25,000,000 was authorized for loans to institutions from Fiscal Year 1959 through the duration of the Act.

3/ Appropriation includes contributions to loan funds, loans to institutions, and Federal payments to reimburse institutions for teacher/military cancellations.

4/ Actual FY 1972 appropriation was $316,600,000. However 23.6 million was mandated to be used during FY 1973. The difference of $293.0 million was made available for use during FY 1972, of which $286 million was for contribution to loan funds.

5/ Of this amount $269,400,000 was available for use in FY 1973 and $23,600,000 was mandated for FY 1974.

Program Goals and Objectives:

The objective of the program is to allocate funds to postsecondary institutions for the purpose of making long-term, low-interest loans to students with financial need. These loans are to provide lower-income students with an additional source of funds for access to postsecondary education and to help provide middle-income students with another source of funds with which they may choose a broader range of institutions. Such loans complement other forms of student financial assistance such as Basic and Supplemental Educational Opportunity Grants, College Work-Study, and Guaranteed Student Loans.

Program Operations:

Funding is initially allotted to States by means of an allotment formula and by regulation. Funding levels for institutions within each State are recommended by regional review panels consisting of OE Program Officers from the regional and national offices and financial aid officers selected from institutions in that region. Recommended funding levels are generally in excess of the annual NDSL allotment for a State. In such cases, the entire group of institutions within a State receives less than 100 percent of their panel approved amount. However, each institution within that group receives a pro-rated reduction in its allocation which, in percentage, is equal to that of every other institution in the State. Institutions often distribute NDS loans in conjunction with other forms of financial aid and financial aid officers "package" these various aid components in different ways depending on available funds and student circumstances. Students may borrow a total of: (a) $2,500 if they are enrolled in a vocational program or if they have completed less than two years of a program leading to a bachelor's degree; (b) $5,000 if they are undergraduate students and have already completed two years of study toward a bachelor's degree (this total includes any amount borrowed under the NDSL for the first two years of study); (c) $10,000 for graduate or professional study (this total includes any amount borrowed under the NDSL for undergraduate study). Upon leaving the institution, students sign a repayment agreement which specifies the duration and amount of repayment. After a nine-month grace period following cessation of studies, the student begins repayment (on a monthly, bimonthly, or quarterly basis), normally over a ten-year period. The borrower's ten-year repayment period may be deferred not to exceed three years for service with VISTA, the Peace Corps, or military services.

A percentage of the total loan amount may be cancelled for individuals providing special services in specific teaching areas and for members of the Armed Forces of the United States' serving in areas of hostility.

Program Scope:

In Fiscal Year 1975, 2,985 institutions participated in the program. Institutional participation increased during the Fiscal Years 1976 and 1977 with 3,300 institutions participating in the latter fiscal year. The estimated average loan per student during the Fiscal Years 1975 and 1976 was $690. It is estimated the same average will be maintained in Fiscal Year 1977. Loans for the required matching institutional capital contributions were made to 90 institutions during Fiscal Year 1975 and 72 institutions during Fiscal Year 1976. Estimated data for Fiscal Year 1975 shows that new loan cancellations at the 10% rate were received by 80,000 borrowers and 120,000 by continuing borrowers. The number of new borrowers receiving cancellations at the 15% rate was 60,000 while 40,000 continuing borrowers received cancellations for a total of 300,000.

For Fiscal Year 1977 the aggregate U.S. requests for new Federal capital contributions exceeded final recommended amounts by 23%, while the actual program appropriation was sufficient only to fund 51% of the recommended funding level nationwide.

Program Effectiveness and Progress:

Program effectiveness can be partially measured by analysis of the distributions of funds for various characteristics of student borrowers. Results from program files for FY 1976 indicate that of all borrowers, 21.8 percent were dependent students from families with income less than $7,500. Also, borrowers are made up of equal amounts of men and women. Finally, 25.7 percent of all borrowers were from minority or ethnic groups.

Of all borrowers 7.8% were likely to be graduate students and 21.6% were students classified as independent. Further breakdowns by type of institutions for each of these categories are indicated in Table II. (Previously, undergraduate independent and graduate students were included in gross family income categories. They were classified as low-income students on the basis of their own, rather than their families', income.)

These distributions appear to indicate that NDS loans are, in fact, going primarily to lower and lower middle income students although not to the same degree as funds awarded under the Basic Educational Opportunity Grants, College Work-Study or Supplemental Educational Opportunity Grant Programs.

Table I indicates the amount and percentage of total college costs represented by loans of various types. The table shows, for example, that the dollar amount of loans generally increases as institutional cost increases. There is a slight decrease in the percentage dependence on loans at institutions with total costs above $3,500. It is also apparent that percentage dependency on loans generally decreases at parental incomes above approximately $12,500. At the higher cost institutions attended by students in the two highest income categories, percentage dependence on loans is only 10.4 and 3.0 percent, respectively. The table reveals that students with

Table I

Amount of Loan and Percent of Total College Costs for Student Loans by Source, Parental Income and Institutional Cost for First-Time, Full-Time, Students Fall 1975

Parental Income

Institutional Cost and Source	$0 - 6,000		$6,001 - 10,000		$10,001 - 15,000		$15,001 - 20,000		$20,001 - 30,000		$30,001 or More	
	Amount	%	Amount	%	Amount	%	Amount	%	Amount	%	Amount	-%
Cost: $0 - 1,500		(2,123)		(2,143)		(2,164)		(2,294)		(2,527)		(2,938)
GSLP	60	2.8	69	3.2	89	4.1	93	4.1	63	2.5	24	0.8
NDSL	69	3.3	84	3.9	67	3.1	55	2.4	26	1.0	8	0.3
Other Loans	40	1.9	43	2.0	57	2.6	57	2.5	47	1.9	23	0.8
Total Loans	169	8.0	196	9.1	213	9.8	205	8.9	136	5.4	55	1.9
Cost: $1,501 - 2,000		(3,337)		(3,443)		(3,528)		(3,627)		(3,774)		(3,960)
GSLP	248	7.4	290	8.4	381	10.6	315	8.7	249	6.6	68	1.7
NDSL	186	5.6	226	6.6	179	5.0	160	4.4	82	2.2	20	0.5
Other Loans	65	1.9	74	2.1	88	2.5	126	3.5	88	2.3	38	1.0
Total Loans	499	15.0	590	17.1	648	18.1	601	16.6	419	11.1	126	3.2
Cost: $2,001 - 2,500		(4,153)		(4,168)		(4,253)		(4,245)		(4,425)		(4,697)
GSLP	191	4.6	216	5.2	252	5.9	242	5.7	165	3.7	56	1.2
NDSL	353	8.5	348	8.3	310	7.3	228	5.4	97	2.2	18	0.4
Other Loans	87	2.1	85	2.0	117	2.8	130	3.1	102	2.3	42	0.9
Total Loans	631	15.2	649	15.6	679	16.0	600	14.1	364	8.2	116	2.5
Cost: $2,501 - 3,000		(4,424)		(4,471)		(4,595)		(4,878)		(5,097)		(5,130)
GSLP	222	5.0	251	5.6	280	6.1	291	6.0	214	4.2	68	1.3
NDSL	301	6.8	300	6.7	245	5.3	201	4.1	94	1.8	16	0.3
Other Loans	109	2.5	120	2.7	127	2.8	139	2.8	115	2.3	52	1.0
Total Loans	632	14.3	671	15.0	652	14.2	631	12.9	423	8.3	136	2.7
Cost: $3,001 - 4,000		(4,959)		(5,029)		(5,212)		(5,395)		(5,535)		(5,333)
GSLP	194	3.9	209	4.2	271	5.2	311	5.8	297	5.4	79	1.5
NDSL	410	8.3	489	9.7	407	7.8	276	5.1	122	2.2	15	0.3
Other Loans	154	3.1	119	2.4	121	2.3	134	2.5	159	2.9	67	1.3
Total Loans	758	15.3	817	16.2	799	15.3	719	13.3	578	10.4	161	3.0

NOTE: The number in parentheses is the mean Total College Costs for the corresponding Parental Income and Institutional Cost categories in dollars.

Source: Preliminary tabulations from studies on the Impact of Student Financial Aid, Higher Education Research Institute, Los Angeles, California, Office of Planning, Budgeting, and Evaluation Contract #300-75-0382.

approximate parental incomes of under $15,000 utilize NDSL loans more heavily while larger GSLP utilization is the case for those with family incomes above $15,000. There is no combination of family income and institutional cost for which loans exceed 20 percent of total costs. This would appear to indicate a relatively low preference for borrowing by the college-going population as a whole, and a surprisingly low preference by higher income groups attending expensive institutions.

With regard to the effectiveness of program operations, despite efforts taken by the Office of Education and Congress to reduce the likelihood of default, the NDSL delinquency rate continues to be of concern. Preliminary OE program data shows a national potential default rate of 16.0%, and delinquency rate of 10.6%, as of June 30, 1975.

Ongoing and Planned Evaluation Studies:

The Higher Education Research Institute of Los Angeles, California, is currently engaged in the design of a study which will attempt to assess the impact of OE-sponsored student assistance programs.

TABLE II

Characteristics of Participants in the National Direct Student Loan Program by Type and Control of Institution, 1974-75 1/ (In percentages)

			Public Institutions		
Characteristics	Total All Institutions	Total	Two-Year	Four-Year	University
Dependent Undergraduates					
Family Income					
Less than $7,500	30.8	34.0	38.0	35.8	29.7
$7,500 - 11,999	24.7	23.5	17.3	25.0	24.1
More than 11,999	21.4	13.7	5.9	14.7	15.6
Independent Undergraduates	17.0	22.8	38.8	19.8	20.3
Graduate Students	6.1	6.0	0	4.6	10.3
	100.0	100.0	100.0	100.0	100.0
			Private Institutions		
Dependent Undergraduates					
Family Income					
Less than $7,500		26.4	32.2	28.0	19.3
$7,500 - 11,999		26.3	26.8	27.6	21.6
More than 11,999		32.1	25.8	32.4	32.6
Independent Undergraduates		8.8	15.2	9.1	6.2
Graduate Students		6.4	0	2.8	20.3
		100.0	100.0	100.0	100.0

1/ Based on findings of the Higher Education Panel Survey No. 27.

Sources of Evaluation Data:

U.S. Department of Health, Education, and Welfare, Office of Education, Bureau of Higher Education. Factbook, 1976 Washington, D. C., 1973.

Higher Education Panel Reports, Number 18, American Council on Education. The Impact of Office of Education Student Assistance Program Fall, 1973. Washington, D. C., April 1974.

Program files, Division of Student Financial Aid.

Higher Education Research Institute, Los Angeles, California, Office of Planning, Budgeting, and Evaluation Contract #300-75-0382.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Upward Bound Program

Legislation:	**Expiration Date:**
Higher Education Act of 1965. Title IV-A Subpart 4; Public Law 89-329; as amended by Public Law 90-575; as amended by Public Law 91-230; as amended by Public Law 92-318; as amended by Public Law 94-482.	September 30, 1979

Funding History:	Year	Authorization	Appropriation
	1965	1/	1/
	1966	1/	1/
	1967	1/	1/
	1968	1/	1/
	1969	1/	1/
	1970 2/	$ 56,680,000	$29,601,000
	1971	96,000,000	30,000,000
	1972	96,000,000	31,000,000 3/
	1973	100,000,000	38,331,000
	1974	100,000,000	38,331,000
	1975	100,000,000	38,331,000
	1976	100,000,000	38,331,000
	1977	200,000,000	41,500,000
	1978	200,000,000	44,000,000 (est.)

1/ There were no specific authorizations or appropriations for Upward Bound during these years. This was an OEO agency allocation made from the total appropriations for Title II-A of the Economic Opportunity Act of 1964.

2/ Represents budget authority. Beginning in FY 1970 authorized funds were combined for the three programs of Special Services, Upward Bound, and Talent Search.

3/ Excludes $4 million supplemental appropriation for veterans projects.

Program Goals and Objectives:

The Upward Bound Program is intended for youths from low-income families who have academic potential, but who may lack adequate secondary school preparation, including those students whose inadequate secondary school preparation is a result of severe rural isolation. Without the intervention of the program, these students would not have considered college or other postsecondary enrollment, nor would they have been likely to have gained admission to or successfully completed college or other postsecondary schools. The program is designed to generate skills and motivation necessary for success in education beyond high school. The goal of the program, as stated in the regulations, is to increase the academic performance and motivational levels of eligible enrollees so that such persons may complete secondary school and successfully pursue postsecondary education programs.

The authorizing legislation for the Upward Bound Program and program regulations use several important terms to describe the target population and goals for the program. Such critical terms or phrases as "academic potential," "inadequate secondary school preparation," and "skills and motivation necessary for success in education beyond high school" are difficult to define. Inadequate definition may cause wide and conflicting interpretation of the target population and the lack of specificity makes it difficult to measure the attainment of program objectives.

The General Accounting Office study of Upward Bound also found that the program lacked measurable objectives that clearly stated the expected end results of the program for student performance. GAO observed that local project objectives were usually vague and did not express in a measurable way the kinds and amount of change expected in students' academic skills and motivation.

In those cases where improvements in program operations can be made on the basis of the studies cited below, they have been included in the revision of program operations.

Program Operations:

Upward Bound is designed for the low-income high school student who, without the program, would not have considered college or other postsecondary school enrollment nor would he have been likely to have gained admission to and successfully completed a two- or four-year college or other postsecondary school. In a typical year an Upward Bound student is a resident on a college or university, or secondary school campus, for a six to eight-week summer session. In the academic year he may attend Saturday classes or tutorial/counseling sessions or participate in cultural enrichment activities. During his junior and senior years he explores options for the postsecondary program best suited to his needs.

Upward Bound looks for the individual who has academic potential (a demonstrated aptitude) for a career which demands postsecondary education, but whose inadequate high school preparation prevents him from meeting conventional requirements for admission to a college, university, or technical institute. The program is designed to generate skills by means of remedial instruction, altered curriculum, tutoring, cultural exposure and encouragement and counseling.

Some program aspects include (1) coordination, where feasible, of Talent Search, Upward Bound, Educational Opportunity Centers, and Special Services for Disadvantaged Students; (2) projects to help students overcome motivational and academic barriers to acceptance at, and success in, a two- or four-year college or other postsecondary school.

Upward Bound is a project grant program which works primarily through institutions of higher education and, in exceptional cases, secondary schools to provide educational services to disadvantaged youth. The program is administered chiefly through the regional offices and, in part, through the OE central office. Awards are made competitively. The program is forward-funded and no matching grants are required of grantees.

In the program year from July 1, 1973 to June 30, 1974, 416 Upward Bound projects reported serving 51,755 clients at a cost of $38.3 million. Of the 416 projects, 67 served approximately 12,200 veterans and 9 special demonstration projects served approximately 980 students. The data from the 333 Upward Bound "regular" projects showed that approximately 10,733 seniors were served, with approximately 7,588 of these seniors directly entering postsecondary education. The average cumulative cost (excluding non-Federal contributions) per postsecondary education enrollee, some of whom were served by Upward Bound for three years, was approximately $3,054. The marginal cumulative cost per postsecondary education enrollee was approximately $7,391 (this figure was calculated by estimating the number of Upward Bound enrollees who would not have entered postsecondary education without the Upward Bound services). The average yearly total cost per project (excluding in-kind contributions) was $111,986 for the 1973-74 program. For the 1973 summer program, the estimated cost was $63,769 per project or approximately $830 per student served; for the 1973-74 academic year program, the estimated average cost was $51,863 or approximately $700 per student served. Over 90 percent of these monies were contributed by Federal sources. There was considerable variation in the cost figures reported for projects. The range of reported total costs, excluding in-kind contributions, was from $9,782 to $175,000 during the summer program and from $19,500 to $134,000 during the academic year. Non-Federal support ranged from $0 to well over $100,000, with the most projects reporting no non-Federal funding. Projects reported receiving an average of $9,149 worth of in-kind contributions such as office space, facilities, and personnel services, although these estimates may be low.

Program Scope:

In Program Year 1975-76, 403 Upward Bound projects were funded (2 new projects and 401 continuing projects). The grants to projects ranged from $26,863 to $360,000 with an average of $95,105. Approximately 46,181 students were served by the program. (The 48 Special Veterans projects also provided Talent Search type services to 12,600 veterans.) Of the 403 projects, 324 were hosted by four-year colleges or universities, 58 were hosted by two-year colleges, and five were hosted by vocational-technical schools.

The target population of individuals who can benefit from the services of Upward Bound is characterized by persons bearing many of the same traits or characteristics as persons in the target population for Talent Search. Both programs attempt to expand the educational opportunities of persons having low incomes.

The target population in 1970 included 3,880,000 persons whose family income was below the poverty cutoff, whose highest grade attended was between grades 6 and 12, and who were between 14 and 24 years old. This was determined in the following manner. Of the 203,212,000 persons in the U.S. in 1970, 38,600,000 persons, or 19 percent of the U.S. population, were between 14 and 24 years old. Of these 38,600,000 persons, grades 6 through 12 were the highest grade attended for 28,300,000 persons, or 73 percent. These 28,300,000 persons were further classified according to poverty status. Of these 28,300,000 persons, the family incomes in 1969 of 3,880,000 were below the poverty cutoff. Thus, in 1970 the Upward Bound and Talent Search target population came to 3,880,000 persons, or two percent of the total U.S. population.

Of the 3,880,000 persons included in the target population, 54 percent were females and 46 percent males, compared with the 51 percent female and 49 percent male composition of the total U.S. population. The composition of the target population by ethno-racial background was approximately 54 percent white, 36 percent black, and 10 percent Spanish descent. There were also 49,000 American Indians and 26,000 persons of other ethno-racial backgrounds estimated in the target population, but these two categories combined contained only two percent of the target population.

The target population declined from 3,880,000 in 1970 to 3,340,000 in 1974. By ethno-racial background, the target population of whites was estimated to have declined from 2,083,000 to 2,045,000 persons, and the target population of blacks declined from 1,351,000 to 1,213,000. Even accounting for the 540,000 person decline in the target population from 1970 to 1974, the percent of the target population served by Upward Bound and Talent Search programs in the 1973-74 program year remained small; 4.8 percent for blacks, 1.3 percent for whites, and 3.6 percent for the total population.

The coverage of the target population has also been estimated by OE region, and the coverage has been found to vary from a low of two percent in Region IV (Atlanta) to a high of eleven percent in Region X (Seattle), and averages about four percent in the U.S. (based upon a target population estimated at 3,880,000).

(This discussion of the target population is drawn from the recent study of the Upward Bound and Talent Search programs.)

Program Effectiveness and Progress:

The latest available program data shows that in 1976 over nine thousand (9,245) Upward Bound participants completed high school and that about 70 percent of these were planning on entering some form of postsecondary education--mostly college (69 percent). About 6,327 (68 percent) of the 1976 graduates actually enrolled in college the same year. Although the recent General Accounting Office study of Upward Bound reported a 10 percent overestimate of college entrance by the program, this was based on a 15 project sample selected by GAO. These 15 projects, however, were not selected by scientific sampling techniques and cannot be considered representative of the Upward Bound program.

The recent evaluation of Upward Bound provided the most comprehensive and scientifically accurate statistics about the program, on the nature of the students in the program, and their educational outcomes. These statistics were based on a national sample of more than 3,400 Upward Bound students in the tenth, eleventh, and twelfth grades and a comparison group of about 2,000 similar students who did not participate in the program.

A descriptive profile of Upward Bound students as found by the study appears below:

Variable	Percentages	Variable	Percentages
Sex		Poverty Level 1/	64.5 %
Male	44 %	Not Poverty Level	22.5 %
Female	56 %	Indeterminate	13 %
Race		Academic Risk 2/	45 %
Black	61 %	Not Academic Risk	54 %
White	18 %	Indeterminate	1 %
Other	20 %		
Indeterminate	1 %	Grade Level	
		10	14 %
Age		11	38 %
15	7 %	12	45 %
16	22 %	Indeterminate	3 %
17	36 %		
18	26 %		
19	6 %		
Other	3 %		

1/ Poverty status was assigned to all students with family income under $4,000; $4,000-5,999 if 4 or more children; $6,000-7,999 if 8 or more children; above $8,000 all were non-poor.

2/ Student was classified an academic risk if his ninth grade academic GPA placed him in the bottom half of his class. If academic GPA could not be computed then a student was classified as an academic risk only if he failed to pass 20 percent or more of the academic courses which he attempted.

Females and blacks predominated, most Upward Bound students were 16 to 18 years old, almost two-thirds were below the poverty level, and slightly more than half were judged not to be academic risk students. Almost half were twelfth graders at the time of survey.

Upward Bound students were compared in several ways to comparison students who had not participated in the program. The most important comparisons were for high school continuation and completion and entrance to postsecondary education. Upward Bound participation was found to be related to within year high school retention/completion (fall 1973 to spring 1974), and, somewhat less so, to high school retention/completion between fall 1973 and fall 1974. Between year high school retention/completion (fall 1973 to fall 1974) was found to be about 90 percent for the Upward Bound group and almost as high (89 percent) for the comparison students. Although some of these within year and between year differences for tenth, eleventh, and twelfth grade Upward Bound students were of statistical significance they were not of practical, educational significance with one exception. The exception was students who entered Upward Bound in the tenth grade or earlier; substantially more of these students (93.4 percent) returned to high school the next fall than did the tenth grade comparison group (85.5 percent) for a difference in favor of the Upward Bound group of about 8 percent. Such a difference approaches practical, educational significance. Overall, however, the statistical probability of high school completion for Upward Bound participants is not more than for the comparison group, with a probability of about 70 percent for both groups.

A pronounced difference in entrance to postsecondary education was found as a function of Upward Bound participation. Length of participation in Upward Bound was also positively related to postsecondary enrollment. Overall, Upward Bound high school graduates in the study sample entered some form of postsecondary education at a rate of about 71 percent, whereas the comparison group of high school graduates entered at a rate of about 47 percent. Graduates who entered Upward Bound by the tenth grade entered postsecondary education at a rate of 78 percent, but those who joined Upward Bound in the eleventh or twelfth grades had a significantly lower postsecondary enrollment rate of about 69 percent. Both groups, of course, showed large positive differences over the comparison group.

The above rates of postsecondary entrance are for those Upward Bound and comparison students who have completed high school. Probabilities for postsecondary enrollment are also given in the study calculated by the high school grade at the time of entrance to Upward Bound. Unlike the rates of entrance for the high school graduates reported above, these probabilities include high school attrition by the student groups. The comparison students (non-participants in the program) had a probability, overall, of postsecondary enrollment of about .32, whereas the probabilities for students who entered Upward Bound by the tenth (or earlier), eleventh, and twelfth grades were .60, .53, and .47, respectively. These probabilities are of practical educational significance both between the Upward Bound and comparison groups overall, and between those who entered Upward Bound by the tenth grade or earlier and those who entered later. Clearly, Upward Bound has large positive influence on postsecondary entrance, and the earlier (or longer) the student is exposed to Upward Bound the greater the impact on access to postsecondary education.

The behaviors associated with financial aid were different for Upward Bound and comparison students. The rate of application for financial aid was substantially greater for Upward Bound (88%) students than for comparison (53%) students. Although Upward Bound aid applicants do not receive more offers of aid, they do receive more adequate offers, generally in the form of larger grants. The average Upward Bound aid recipient obtained $1,685 in aid with $1,134 in the form of a grant. The aid package received by the average comparison student totaled $1,224 with $622 in the form of a grant. These findings suggest that Upward Bound is providing supportive, advocacy, and advisory services that facilitate postsecondary entrance.

The evaluation of Upward Bound obtained the types of postsecondary schools that the Upward Bound and comparison group students entered in fall 1974. These results are compared in the table below.

	Upward Bound	Comparison Group	Standard Error of the differences between each comparison
	%	%	%
Four-Year Colleges	75.7	45.1	5.2
Two-Year Colleges	17.2	31.3	5.8
Vocational, Technical and Business Schools requiring a high school diploma	3.3	8.0	2.8 1/
Vocational, Technical and Business Schools not requiring a high school diploma	4.8	16.3	3.9

1/ Not statistically significant. All other comparisons are statistically significant at twice the standard error which results in a 95 percent level of confidence for these comparisons between the two groups.

Upward Bound enrolled a much larger proportion of its students in four-year colleges than did the comparison group of students, and fewer in two-year colleges and non-collegiate vocational, technical, and business schools (except for such schools that require a high school diploma, where the difference is not large enough to be statistically significant).

A descriptive profile of the Upward Bound students in program year 1975-76, generated from program files, appears below:

Variable	Percentages
Sex	
Male	55 %
Female	45 %
Race	
Black	56 %
White	25 %
Other	17 %
Indeterminate	2 %
Age	
14-16	32 %
17-19	43 %
20 or more	23 %
Other	2 %

Variable	Percentages
Poverty	
Below poverty criteria	61 %
Public assistance	18 %
Near poverty	12 %
Other	9 %
Grade Point Average at Entry	
A	1 %
B	12 %
C	43 %
D	21 %
F	3 %
Indeterminate	20 %

Upward Bound is charged by its legislation with generating in the program participants the skills and motivation necessary for success in education beyond high school. This goal is the largest remaining question about the effectiveness of Upward Bound--as expressed in the college performance and retention of former program participants. The GAO review of the program data on college graduation and retention of former Upward Bound students concluded that the program was substantially overestimating the college retention of these students. This issue has not yet been addressed in an evaluation of the program. A follow-up study of the Upward Bound and comparison student samples is planned for FY 1977. This follow-up should provide the best statistics available to resolve this question.

Ongoing and Planned Evaluation Studies:

Evaluation of Upward Bound: A Follow-Up

A follow-up evaluation of the Upward Bound program, employing the sample of students studied in the recent evaluation of Upward Bound, by the Research Triangle Institute began near the end of FY 1976. This evaluation includes a post card and telephone survey of students to determine empirical answers to questions concerning postsecondary persistence. Data collection, analyses, and reporting are scheduled for completion by fall, 1977.

An Evaluation of Demonstration Models for the Special Programs for Students from Disadvantaged Backgrounds

The major purpose of this study is to develop and evaluate more effective compensatory education techniques, or models to improve program impact on its participants. This project, which began in September 1976, comprises about two years for development of intervention models, field implementation and evaluation plans, and field site selection and staff training. Beginning in September 1978 there will be a three year field trial of the models with impact data extracted annually for evaluation and results reported annually. There will also be a final year of data synthesis and analysis with results reported for the whole effort. The results will be applied to the existing Special Programs, and will furnish successful models to State and local education agencies and higher education institutions for use in their own efforts with disadvantaged students at the high school and college levels.

The model development report and design for the project will be completed in mid-1977, with the first evaluation report due in the spring of 1980 and the second impact evaluation report due a year later. The final report for the complete experiment is due by mid-1982.

Contractor: System Development Corporation, Santa Monica, California.

Sources of Evaluation Data:

General Accounting Office, Problems of the Upward Bound Program in Preparing Disadvantaged Students for a Postsecondary Education, March 7, 1974, Washington, D. C.

Upward Bound Program files.

Estimates of the Target Populations for Upward Bound and the Talent Search Programs, Volume II of A Study of the National Upward Bound and Talent Search Programs, Research Triangle Institute, Research Triangle Park, North Carolina, 1975.

Evaluation Study of the Upward Bound Program, Volume IV of A Study of the National Upward Bound and Talent Search Programs, Research Triangle Institute, Research Triangle Park, North Carolina, 1976.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Talent Search Program

Legislation:

Higher Education Act of 1965. Title IV-A, Subpart 4; Public Law 89-329; as amended by Public Law 90-575; Public Law 91-230; Public Law 92-318; Public Law 94-482.

Expiration Date:

October 1, 1979

Funding History:	Year	Authorization	Appropriation
	1966	1/	$2,000,000
	1967	1/	2,500,000
	1968	1/	4,000,000
	1969	$ 4,000,000	4,000,000
	1970 2/	56,680,000	5,000,000
	1971	96,000,000	5,000,000
	1972	96,000,000	5,000,000
	1973	100,000,000	6,000,000
	1974	100,000,000	6,000,000
	1975	100,000,000	6,000,000
	1976	100,000,000	6,000,000
	1977	200,000,000	8,900,000
	1978	200,000,000	11,000,000 (est.)

1/ Such sums as may be necessary.

2/ Represents budget authority. Beginning in FY 1970 funds authorized were combined for the Special Programs for Students from Disadvantaged Backgrounds.

Program Goals and Objectives:

Talent Search programs are designed to identify qualified youths, including qualified youths residing in areas of severe rural isolation, of financial or cultural need with an exceptional potential for postsecondary educational training and especially such youths who have delayed pursuing postsecondary educational training and encourage them to complete secondary school and undertake postsecondary educational training. The program also publicizes student financial aid programs and encourages secondary-school or college dropouts of demonstrated aptitude to reenter educational programs. The goal of this program is to (1) increase the rate at which youths of financial or cultural need complete secondary school and enroll, with adequate financial aid, in postsecondary educational programs, (2) decrease the rate of secondary and postsecondary school dropouts, (3) increase the number of secondary and postsecondary school dropouts who reenter educational programs, and (4) increase the postsecondary enrollment rate of youths who have delayed pursuing postsecondary educational training.

The authorizing legislation for the Talent Search Program allows youths from other than low-income families, not to exceed one-third of the total served, to benefit from the projects.

The authorizing legislation for the Talent Search Program, and the program regulations, use several terms to describe the target population and goals for the program. Such critical terms or phrases as "cultural need," "exceptional potential," and "demonstrated aptitude" are difficult to define. Inadequate definition may cause wide and conflicting interpretation of the target population, and the lack of specificity makes it difficult to measure the attainment of program objectives.

Program Operations:

Talent Search is a project grant program which works through institutions of higher education, public and private agencies and organizations to provide services to disadvantaged youth in secondary schools or who are dropouts. The program is managed principally through the regional offices and partly through the OE central office. Awards are made competitively. The program is forward-funded and no matching grants are required of grantees.

The local projects operate a recruiting effort to identify youths who need the program's services and counsel them about opportunities for furthering their education.

A recent study of the program showed that all project directors expressed a fundamental philosophic concern with educational opportunities for the minorities and the educationally disadvantaged. Their stated project objectives were two-fold. First, they focused on improving the client group's educational and vocational status and self-perception, and second, on increasing school- and community-awareness of the client group's needs. Given this common base, all projects provided services intended to encourage clients to aspire to a postsecondary education.

The number and kinds of services provided clients varied considerably across projects classified by size, ethnicity and location of majority of clients, type of host institution, age, and USOE region location. However, all projects generally: encouraged the completion of high school and the attainment of a postsecondary education; provided information on educational opportunities and financial assistance; and assisted in the mechanics of applying for admission and financial aid. To a more limited extent, projects provided follow-up activities and assistance to insure that clients actually: enrolled in postsecondary institutions; reached the campus and began their studies; and became adjusted and oriented to the campus.

In receiving these services, about one-sixth of the clients had had only one contact with Talent Search, about one-half had had two to five contacts, and about one-third had had six or more contacts.

Program Scope:

The target population of this program is more than four million persons. This population includes all persons from 14 to 27 years of age, whose highest grade attended in school was between grade 6 and grade 12, and whose family income is below the poverty level. Only about 4 percent of this population is now being served by the Talent Search program. (This definition does not attempt to cope with the problem of including possible clients due to "cultural need.")

During academic year 1975-76, 116 projects were funded with the $6 million appropriation: of these projects 111 are continuing and 5 are new. The grants ranged from $6,000 to $170,200 with an average grant of $51,716. Average cost per client was estimated by the program at $41, based on the estimated total of 146,000 clients to be served.

During the period from July 1, 1976 through December 31, 1976, 130 projects were funded with the $6 million appropriation. Of these projects, 36 received two month funding for the transition quarter ending September 30, 1976. Based upon 100 reporting projects, the cost per client was $115. The 100 projects reported serving 52,112 clients with about 44 percent blacks, 22 percent white and 34 percent of other ethnicity, such as Native Americans or Mexican-Americans. Approximately 55 percent of these clients were female. About 60 percent of these clients had family incomes of less than $6,000 and a small portion, roughly 13 percent, had family incomes of $9,000 or more.

Program Effectiveness and Progress:

In the 1975-76 academic year, 46,895 clients were placed in postsecondary education with an additional 29,358 accepted, but not yet enrolled. Approximately 21,000 actual or potential dropouts were persuaded to return to school or college. Slightly more than 4,000 were enrolled in high school equivalency programs.

Based upon the reports of 100 of the 130 funded projects from July 1, 1976 through December 31, 1976, approximately 6,100 actual or potential dropouts were persuaded to return to school or college. Nearly 1,200 clients were enrolled in high school equivalency programs. In addition, slightly more than 24,000 clients were placed in postsecondary education with an additional 6,300 accepted, but not yet enrolled.

The recent evaluation 1/ of the Talent Search Program shows that, given the fuzzy definition of the target population and the lack of measurable objectives, virtually any person requesting assistance was served--most of whom were determined to be eligible by virtue of low income and related criteria (approximately 80 percent). The required "exceptional potential" criterion was applied to approximately a third of the clients. When this criteria was applied, it was often defined as a non-academic measure or personal judgment. Several projects, however, reported the use of traditional academic measures (test scores, grades, class rank, etc.) in determining "exceptional potential." Thirty-five percent of the project directors expressed dissatisfaction with the guidelines for defining the target population. Most of this dissatisfaction was directed at the "restrictive" and "unrealistic" nature of the low-income criteria. (These income criteria could be bypassed in many instances by applying the cultural need criterion.)

Project directors reported in the study much confusion with accounting for project achievements due to the ambiguity over the official OE definition of a program "client." Very few project directors (9 percent) reported using the OE definition of a client. Thirty-four percent of the respondents did not follow the "2 contact" requirement--18 percent required only 1 contact and 16 percent required at least 3 contacts. Compliance with the requirement that a contact be defined as "sustained counsel by the project director or by his representative" also varied across projects. More specifically, 38 percent of the directors reported that their definition of a contact included telephone contacts or group meetings or letter contacts. Several raised the issue: since clients were often served through a single contact, and since a great deal of staff was utilized in letter or telephone contacts, why should these interactions not be counted as legitimate contacts?

The study of the program assessed project files at grantee sites to determine their adequacy and to validate program data. The content and organization of the client record files varied considerably across projects. Files in certain projects were comprehensive and complete and data were collected and filed in an organized manner; whereas the files in other projects contained little information, often collected and filed in a haphazard fashion. Overall, client records and project files were in less than satisfactory condition. Most files generally contained such basic descriptive data as the client's age, sex, ethnicity, and grade level. However, data critical to determining a client's eligibility for the program, his application for and attainment of financial aid or postsecondary admission, his strengths and weaknesses, and his achievement of other Talent Search objectives were often incomplete or missing.

The limited degree to which these kinds of information were recorded in the client files, and survey findings of the postsecondary status of former clients, raises a general question as to the effectiveness of Talent Search counseling services and follow-up activities. Approximately three-fourths of the students reported by the projects to have enrolled in postsecondary institutions between July 1, and December 31, 1973, had actually enrolled. And about three-fourths of these verified enrollees were still enrolled in the spring of 1974. (Most of those who were not enrolled in the spring had dropped out of their own choice.) The percent of initial enrollees varied across institution types (higher percents in private as opposed to public institutions), as did the percent of enrollees who remained in the spring (higher percents in four-year as opposed to two-year institutions). It appears, therefore, that greater effort is required to match clients to the institutions where they may most likely fulfill their aspirations. While counselors encouraged clients to apply to institutions where they felt they could be accepted and could handle the challenge in general terms, there appeared to be a need for more academic counseling and better matching of individuals to educational programs. Related to this, there appears to be a tendency for project personnel to recommend a specified set of institutions to clients; while this has certain obvious advantages, it may also limit the educational prospects for program clients.

Costs for the program were also analyzed by the study contractor. The analysis of the sources and uses of funds provided a descriptive profile of the financial characteristics of Talent Search projects. Data summarized for 96 projects indicated that the average total cost, including in-kind payments and contributions, was $74,000 per project for the 1973 program year. Of the $63,700 in cost allocation by sources and uses of funds, 84 percent was funded by USOE; the primary use of those USOE funds was to meet personnel costs, which accounted for 75 percent of the reported costs.

Although the average total costs, including in-kind payments and contributions, was $74,000, individual project total costs ranged from $6,000 to $331,000. Factors analyzed for their contribution to the variation included the number of clients served by the project, the proximity of the clients to the project, and the type of host institution. Of those variables examined, only the association between project costs and the number of clients produced a statistically significant relationship. Including in-kind contributions, Talent Search projects incurred a fixed cost of $42,730 per year and a variable cost of $24.81 per client to implement the program during the 1973 program year. The number of clients in a project explained a majority (55%) of the variation in reported costs per client, which ranged from $23 to $481. The analysis showed that a 10 percent increase in the number of clients in a project was associated with a 6 percent reduction in reported cost per client. The relationship between costs per client and project location and population characteristics was not significant.

The recent study of Talent Search verified that about 75 percent of clients reported by Talent Search projects as having enrolled actually did so. This figure is subject to two qualifications: (1) some clients reported to have enrolled, but who did not do so, may have enrolled elsewhere; (2)

some of those who did enroll were clients from the prior program year. The verified number of clients who enrolled in a postsecondary institution in 1973-74, compared with the $6 million of annual program expenditure, means that the Talent Search Program expends about $242 (excluding non-Federal contributions) per placement in a postsecondary education institution.

In addition to those already described, a number of Talent Search program strengths and weaknesses were identified by the study:

1. The recruitment strategy appears effective in getting to a sizable number of contacts in the target populations of interest. This strategy involves a concerted effort to motivate an interest in further education among disadvantaged youths.

2. Projects engage in a series of standard services, encompassing dissemination of information, assistance in the application process, obtaining of financial aid, and personal counseling. This appears to be the essence of Talent Search.

3. Effective relationships were developed with a standard group of institutions to which clients applied and which many then attended. This suggests that the program had found institutions responsive to the needs of the disadvantaged.

4. Staff appeared dedicated to program goals and objectives; their cohesion and interaction appeared to be adequate, although there was little staff training provided and considerable staff turnover.

5. The populations being served may merit further consideration, in view of the criteria employed in selecting clients; i.e., Talent Search does not so much seek out eligible or special individuals as it serves those who respond to it. Also, further attention may be given to the usefulness of criteria for selecting clients in terms of potential for continued education.

6. There appears to be a need to make greater efforts to match clients to the institutions where they may most likely fulfill their aspirations.

7. Adequate funding for the activities undertaken appears to be a need in many projects. This is related to an apparent effort on the part of many of them to serve large areas and large populations, and the resulting circumstance that many clients are seen only very seldom.

8. Communication with the USOE regional offices could be enhanced by greater attention to the considerable technical and support needs of individual projects in each region. From the standpoint of both the national and regional offices responsible for Talent Search, there appears to be a need for more extensive monitoring, more technical assistance, provision of feedback to and among individual projects, and development of models which can serve as a means for continuing redefinition and refinement of the program.

9. While positive impact on schools and postsecondary institutions has been perceived as a program accomplishment, a relatively small amount of such impact was reported. Also, some negative impact was reported in that there appeared to be a tendency in some high schools to come to depend upon Talent Search to do the school's job in providing counseling and counseling-related services to disadvantaged students.

10. The qualifications of staff members to provide a number of services may be questioned in view of the findings. Personnel overall appear to be ill-equipped to handle such matters as academic counseling, career guidance, testing, and interpretation of educational and aptitude data.

The study of the Talent Search program was descriptive, including a survey of college registrars to validate the postsecondary enrollment of former Talent Search clients. Since it was a descriptive study, without a control group of youths similar to those served by the program but who did not have access to the program's services, an assessment of the program's impact on high school retention and college entrance cannot be done. Consequently, it cannot be asserted, based on the study, that the program does or does not place students in college who would not have enrolled without the program's services.

Overall, the program seems to suffer from a lack of clear definition and logic and its intervention models or strategies are not well-defined or coherent. These limitations can affect the attainment of program goals.

In those cases where improvements in program operations can be made on the basis of the study, they have been included in revised program regulations.

Ongoing and Planned Evaluation Studies:

A study of the Talent Search program by the Research Triangle Institute, Research Triangle Park, North Carolina, has been completed. The final report is available.

Sources of Evaluation Data:

Descriptive Study of the Talent Search Program, Volume III of A Study of the National Upward Bound and Talent Search Programs, Research Triangle Institute, Research Triangle Park, North Carolina, December 1975.

Estimates of the Target Populations for Upward Bound and the Talent Search Programs, Volume II of A Study of the National Upward Bound and Talent Search Programs, Research Triangle Institute, Research Triangle Park, North Carolina, May 1975.

Program Data.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Educational Opportunity Centers

Legislation:	**Expiration Date:**
Higher Education Act of 1965. Title IV-A, Subpart 4; as amended by Public Law 92-318; as amended by the Educational Amendments of 1976.	October 1, 1979

Funding History:	Year	Authorization	Appropriation
	1974	1/	$3,000,000
	1975		3,000,000
	1976		3,000,000
	1977		4,000,000
	1978		5,000,000

1/ $200,000,000 is authorized for the programs that comprise the Special Programs for Students from Disadvantaged Backgrounds.

Program Goals and Objectives:

This program is intended to serve areas with major concentrations of low-income populations by providing, in coordination with other applicable programs and services:

information with respect to financial and academic assistance available for persons residing in such areas desiring to pursue a program of postsecondary education;

assistance to such persons in applying for admission to institutions, at which a program of postsecondary education is offered, including preparing necessary applications for use by admission and financial aid officers, and

counseling services and tutorial and other necessary assistance to such persons while attending such institutions.

The centers also are to serve as recruiting and counseling pools to coordinate resources and staff efforts of institutions of higher education and of other institutions offering programs of postsecondary education, in admitting educationally disadvantaged persons.

While the legislated goals of the Talent Search, Upward Bound and Special Services programs are aimed at individuals in need of project services, the Educational Opportunity Centers are designed to serve residents of major areas with a high concentration of low-income populations. Consequently, any resident of a funded area is eligible to receive project services. This broad mandate, without the restrictions of age, income, disadvantaged cultural or educational backgrounds characteristic of the other Special Programs, offers more latitude to the project to deal with the educational needs of a geographic area without restrictions.

Program Operations:

The Office of Education's central office awards Educational Opportunity Center Program grants, on a cost-sharing basis paying up to 75 percent of the cost of establishing and operating a center, to approved postsecondary institutions, or public and private agencies and organizations. Awards which are forward-funded are made competitively for a one-year period.

The Centers operate a recruiting effort to identify persons who need the program's services and to counsel them about opportunities for furthering their education. The Centers also provide remedial and tutorial services to students enrolled or accepted for enrollment in postsecondary schools.

Program Scope:

On June 30, 1976, the Educational Opportunity Centers Program completed its second year of operation. Final reports submitted to the OE central office indicated that the twelve funded projects provided various forms of counseling and assistance to 37,169 participants. Eight HEW regions hosted one Center each, while two regions hosted two Centers each. The average grant size was $250,000 and the average cost-per-participant was $81.

I. Total number of participants by Center.		Estimated Cost-Per-Participant
Massachusetts (I)	3,837	$84
New Jersey (II)	679	$368
New York (II)	5,794	$51
District of Columbia (III)	1,234	$243

Alabama (IV)	4,968	$50
Ohio (V)	2,479	$62
Texas (VI)	4,494	$55
New Mexico (VI)	1,509	$99
Missouri (VII)	3,781	$85
Colorado (VIII)	3,052	$81
California (IX)	4,116	$68
Washington (X)	1,226	$133
	37,169 TOTAL	$81 average cost per student

II. Total participants by ethnicity.

American Indian	1,350	4%
Black	16,345	44%
Spanish Descent		
Mexican American	2,913	8%
Puerto Rican	1,781	5%
Other	720	2%
White	11,716	32%
Other 1/	1,771	5%
Not Reported	573	2%
	37,169 TOTAL	100%

III. Total participants by sex

Male	16,770	45%
Female	19,968	54%
Not Reported	431	1%
	37,169 TOTAL	100%

IV. Age of participants at time of entry into program.

Under 18	5,247	14%
18 - 24	17,358	47%
25 or Over	13,956	38%
Not Reported	608	2%
	37,169 TOTAL	100%

V. Number of participants physically disabled.

1,371 (4% of total)

VI. Number of participants who are veterans.

3,118 (8% of total)

1/ Includes Asian Americans

N.B. Because of rounding, percents may not add to 100.

Program Effectiveness and Progress:

Due to the newness of this program, an evaluation has not yet been conducted. Program data for the first year of the program shows that 12,412 participants were placed in postsecondary schools or other types of training programs, and 2,707 participants had been accepted by a postsecondary institution but had not yet begun their studies. More than 100,000 individuals received some form of assistance through the Centers.

Ongoing and Planned Evaluations:

An Evaluation of Demonstration Models for the Special Programs for Students from Disadvantaged Backgrounds

The major purpose of this study is to develop and evaluate more effective and efficient compensatory education techniques, or models to improve program impact on its participants. This project, which began in September 1976, comprises about two years for development of intervention models, field implementation and evaluation plans, and field site selection and staff training. Beginning in September 1978 there will be a three year field trial of the models with impact data extracted annually for evaluation and results reported annually. There will also be a final year of data synthesis and analysis with results reported for the whole effort. The results will be applied to the existing Special Programs, and will furnish successful models to State and local education agencies and higher education institutions for use in their own efforts with disadvantaged students at the high school and college levels.

The model development report and design for the project will be completed in late 1977, with the first evaluation report due in the spring of 1980 and the second impact evaluation report due a year later. The final report for the complete experiment is due by mid-1982.

Contractor: System Development Corporation, Santa Monica, California.

Sources of Evaluation Data:

Reports by the centers to the program manager.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Special Services for Disadvantaged Students in Institutions of Higher Education

Legislation:

Higher Education Act of 1965. Title IV-A, Subpart 4; Public Law 89-329; as amended by Public Law 90-575; as amended by Public Law 91-230; as amended by Public Law 92-318; as amended by Public Law 93-380; as amended by Public Law 94-482.

Expiration Date:

September 30, 1979

Funding History:

Year	Authorization 1/	Appropriation
1970	$ 56,680,000	$10,000,000
1971	96,000,000	15,000,000
1972	96,000,000	15,000,000
1973	100,000,000	23,000,000
1974	100,000,000	23,000,000
1975	100,000,000	23,000,000
1976	100,000,000	23,000,000
1977	200,000,000	30,600,000
1978	200,000,000	53,000,000 (est.)

1/ Represents budget authority. Beginning in FY 1970 funds authorized were combined for the three programs of Special Services, Upward Bound, and Talent Search.

Program Goals and Objectives:

The Special Services program is designed to provide remedial and other special services for youths from low-income families with academic potential, but who may be disadvantaged because of severe rural isolation who (1) are enrolled or accepted for enrollment at an institution of higher education which is a beneficiary of a grant or contract and (2) by reason of deprived educational, cultural, or economic background, or physical handicap, or limited English-speaking ability, are in need of such services to assist them to initiate, continue, or resume their postsecondary education. The goal of the program is to increase the retention and graduation rates of such students.

The legislated requirements for participation in the program by students with "academic potential" and who need "remedial and other special services" by reason of "deprived educational, cultural, or economic background, or physical handicap" are difficult to define and implement. Academic potential widely varies in definition and no fully satisfactory definition exists. The separation of deprived educational or cultural background from financial need as a qualification for program participation causes an amorphous target population that defies rational definition. Similarly, the meaning of need for services is subject to broad and conflicting interpretation.

Program Operations:

Special Services is a project grant program making awards to institutions of higher education to provide remedial or bilingual educational teaching, guidance, and/or counseling services for students with educational, cultural, or economic deprived background, or physical handicap or limited English-speaking ability. The program is forward-funded and no matching funds are required by the grantee institutions.

Recipients of grants or contracts from this program who serve students of limited English-speaking ability must include in their curriculum a program of English language instruction for such students.

The program is administered through the OE regional offices with the exception of a small amount of funds awarded to national demonstration projects by the OE central office. Awards are made competitively.

At the institution level, a Special Services program is defined as a separately budgeted formal or structured body of activity by the institution for enrolled students, which is not routinely available to or appropriate for the typical entering student, but is directed toward the more disadvantaged student. There should be a statement of institutional record as to the goals and objectives of the special program, with specification of target population, intervention or treatment strategies, and there should be an institutional staff member charged with responsibility for the administration and maintenance of the program.

Program Scope:

Census data shows that there were about 1,200,000 poor and near-poor (up to $5,000 family income) eleventh and twelfth grade high school students. At least 65 percent (800,000) within this income group will be expected to graduate from high school, and about 35 percent (280,000) of these high school graduates will be expected to enter college eventually. The 280,000 low-income students, plus those physically handicapped students from families above $5,000 income, constitute the core of the target population in need of special services. Evidence from the study of the Special Services program reveals that, in the fall of 1971, 14 percent of all undergraduates came from families with an income that placed them within the Federal Government's poverty classification; this is the prime target population for the Special Services program. Also, while about half of all colleges report enrolling 11 percent or more financially disadvantaged undergraduates, only about one-fourth to one-half of all colleges have a post-matriculation special services type program for low-income students. (Some of the other colleges provide the needed services even though they may not have an explicit program.) The principal source of support for these programs is the Federal Government, with only about 15 percent supported by regular institutional funds, and less than 10 percent by private foundations. According to the study, the most frequent program components found in more than six of every ten programs (from all funding sources) are academic counseling and advising, special recruiting strategy, and tutoring. About half provide for diagnosis of learning difficulty or for remedial courses, and almost half report use of special instructional media or strategies. Almost half involve cooperative efforts with community agencies or organizations; about the same proportion contain job placement elements. Guidance for graduate study appears in about one in every five programs. Slightly more than half of the programs are concerned with the administration of student grants, work-study, and/or loans for program participants.

Programs funded as Federal Special Services programs tend to have a wider variety of the several components than do programs funded from other sources. Also, the content of the programs is influenced by institutional goals: i.e., selective institutions more frequently provide tutoring or guidance toward graduate study and provide remedial courses less frequently than do non-selective institutions. Programs on traditionally white campuses differ in content from those on traditionally black campuses only in the greater frequency of recruiting components which is not allowed in Special Service Projects.

In FY 1975, 327 projects were funded (9 new and 318 continuing). The grant sizes ranged from $15,000 to $250,000, with an average grant of $70,333. The average cost per student was $228. Approximately 50 percent of the clients were black, about 25 percent were white, and about 20 percent were Spanish-surnamed. Approximately 55 percent of the clients were female. A small portion, roughly 8 percent, of the clients reported family incomes of $9,000 or more. Approximately 63 percent of the clients reported family incomes of $6,000 or less.

During the period from July 1, 1976, through December 31, 1976, 366 projects were funded with a $23 million appropriation. Of these projects, 55 received two month funding for the transition quarter ending September 30, 1976. Based upon 329 reporting projects of the 366 total, the cost per client was $337. Approximately 5 percent of the clients were culturally or educationally disadvantaged, 6 percent were physically disabled, and 6 percent were of limited English-speaking ability, independent of the low-income criteria. About one-half of the clients were black, 24 percent were white, and 17 percent were Hispanic.

Program Effectiveness and Progress:

Program records show that in FY 1975 (program year 1975-76), approximately 90,000 students participated in the Special Services program. Of this number, about 66,500 received supportive services for the entire period; about 5,800 students showed adequate academic and personal adjustment and moved out of the program into the regular academic channels of the host institutions; about 5,800 graduated from the host institutions, and about 2,200 left the host institutions to transfer to other colleges, and presumably were making satisfactory progress, or transfer probably would not have been possible.

The evaluation of the Special Services program has shown that the median age of the programs reported (whether Federal or non-Federally supported) was 2.6 years in 1972, and only three percent had existed ten years or more. Therefore, it was too early to evaluate program impact by numbers of students persevering to a bachelor's degree or continuing into graduate study.

Also, the study has revealed that being disadvantaged is much more than a financially determined phenomenon. There are greater differences among students of different ethnic classification within the low-income group than there are between poverty-level and modal (typical) students within the same ethnic classification. Differences between physically handicapped students and modal students are relatively minor--except for the physical disability. Between the poverty-level and modal students, the study did not find substantial differences by major field of study, content of freshman courses taken, or relative difficulty with such courses. Most students in the study were in their first or second year, and differences in these areas may show up later in their college careers.

As expected, the poverty-level students reported a higher degree of participation in the services offered by these programs than did the modal students. This differential participation was particularly large in professional counseling and assistance on financial problems but was also greater for: tutoring by students and professors, professional counseling on career choices, remedial courses and courses on reading skill development, programs to improve writing and number skills, reduced course load, professional counseling for personal and academic problems, and several other areas.

Although substantial positive changes occurred among recipients of these services in attitudes, values, and motivation, there was little indication of impact of the services on the academic achievement of the target population. Disadvantaged students did not reduce the gap in college grade point average between themselves and the regularly admitted (modal) students, differences between high school and college grades for the two groups remaining approximately the same. The college environment, while not tending to magnify previous differences in academic achievement, does not appear to be compensating for such differences. Overall, the academic success of disadvantaged students at institutions with Special Services Programs was no greater, or no less, than at colleges without such programs. This outcome was not affected by any differential emphasis upon specific programmatic elements such as tutoring or counseling. There was no evidence that the colleges these students were in, or any support services available to them, were helping these students to exceed the level of performance that would be expected of them in college given their level of performance in high school.

With regard to disadvantaged students' own satisfaction with their college experience, these students were relatively most satisfied at four-year predominantly white institutions and relatively least satisfied at two-year community colleges; traditionally black colleges fell in between these two groups.

In summary, the evaluation found no evidence of impact associated with services offered by Special Services or similar programs.

A recently completed comprehensive review of research on the effectiveness of secondary and higher education intervention programs for disadvantaged students found that such programs at the postsecondary level have had some positive impact upon program participants. These programs appear to have been somewhat effective in increasing retention of disadvantaged youth in college. In some instances, academic achievement appears to have been improved, but still remained below institutional averages for regularly admitted students. While these programs appear to assist some persons, it is entirely possible for self-selection to have caused these outcomes, and "creaming" of participants has been observed in a number of these types of programs. As with intervention programs at the secondary school level, the strategy used to keep disadvantaged youths in college varied little among programs. Most programs provided remedial instruction, tutoring, and counseling, but differed in the extent to which they tried to integrate their participants into college activities. Like high school level intervention efforts, higher education intervention has not had a major impact on the organization and operation of colleges.

The college-level programs have approached the problems of compensatory education for disadvantaged students with little variation: they tend to offer old strategies to meet new problems, and there has been very little experimentation with different modes of educational intervention. Similarly, little thought has been given to the criteria to be used to gauge the achievement of program objectives. Since program administrators cannot tell whether a strategy has been effective or not, they cannot know when to change or reinforce that strategy. Careful experimentation with varying techniques in varying settings is needed before such programs can advance beyond their limited success.

It should be noted that where improvements in program operations can be made on the basis of findings in the above studies, they have been included in the revised program regulations.

Ongoing and Planned Evaluation Studies:

An Evaluation of Demonstration Models for the Special Programs for Students from Disadvantaged Backgrounds

The major purpose of this study is to develop and evaluate more effective and efficient compensatory education techniques, or models, to improve program impact on its participants. This project, which began in September 1976, comprises about two years for development of intervention models, filed implementation and evaluation plans, and field site selection and staff training. Beginning in September 1978 there will be a three year field trial of the models with impact data extracted annually for evaluation and results reported annually. There will also be a final year of data synthesis and analysis with results reported for the whole effort. The results will be applied to the existing Special Programs, and will furnish successful models to State and local education agencies and higher education institutions for use in their own efforts with disadvantaged students at the high school and college levels.

The model development report and design for the project will be completed in mid-1977, with the first evaluation report due in the spring of 1980 and the second impact evaluation report due a year later. The final report for the complete experiment is due by mid-1982.

Contractor: System Development Corporation, Santa Monica, California.

Sources of Evaluation Data:

Program files.

U.S. Bureau of the Census, Current Population Reports, Series P-20, No. 222, "School Enrollment: October 1970," derived from Tables 14 and 15, and unpublished data obtained from the Bureau of the Census.

Programmatic Attention to "Disadvantaged" Students by Institutions of Higher Education in the United States: A Census for 1971-72, Educational Testing Service, Princeton, New Jersey, April 1973 (final report from phase one of the evaluation of the program for Special Services for Disadvantaged Students in Higher Education).

The Impact of Special Services Programs in Higher Education for "Disadvantaged" Students, Educational Testing Service, Princeton, New Jersey, June 1975 (final report of phase two of the evaluation of the program for Special Services for Disadvantaged Students in Higher Education).

Vincent Tinto and Roger H. Sherman, The Effectiveness of Secondary and Higher Education Intervention Programs: A Critical Review of the Research, Teachers College, Columbia University, September 1974 (final report submitted to the Office of Planning, Budgeting, and Evaluation of the U.S. Office of Education).

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Strengthening Developing Institutions

Legislation:

Higher Education Act of 1965, Title III;
Public Law 89-329, as amended

Expiration Date:

October 1, 1979

Funding History:

Year	Authorization	Appropriation	
1966	$ 55,000,000	$ 5,000,000	
1967	30,000,000	30,000,000	
1968	55,000,000	30,000,000	
1969	35,000,000	30,000,000	
1970	70,000,000	30,000,000	
1971	91,000,000	33,850,000	
1972	91,000,000	51,850,000	
		BIDP	AIDP
1973	120,000,000	51,850,000	35,500,000
1974	120,000,000	51,992,000	48,000,000
1975	120,000,000	52,000,000	58,000,000
1976	120,000,000	52,000,000	58,000,000
1977	120,000,000	52,000,000	58,000,000
1978	120,000,000	52,000,000	68,000,000

Program Goals and Objectives:

The program objective is to provide assistance to developing institutions of higher education which demonstrate a desire and a potential to make a substantial contribution to the higher education resources of the Nation but which, for financial and other reasons, are struggling for survival and are isolated from the main currents of academic life. The original legislative hearings identified approximately 110 predominantly black colleges as a specific set of institutions which, for more than financial reasons, were struggling for survival and, therefore, appropriate candidates for program support. Specific program objectives include efforts to improve the quality of curriculum, faculty, student services, administration, and other general areas of institutional operations. Since its inception, the program has included both two- and four-year institutions enrolling substantial numbers of students from low-income families as well as representatives of minority populations. Almost a thousand smaller colleges and universities fall within the "developing institutions" category that benefit under Title III of the Higher Education Act.

The program goal is to provide such supplementary financial assistance as may be necessary to allow developing institutions to move into "the mainstream of American higher education" so that they might, on the basis of offering an education of good quality, reasonably compete for students and external financial resources.

Program Operations:

Developing institutions are defined as institutions of higher education which: (1) provide an educational program which awards an A.A. or a B.A. degree, (2) are accredited by a nationally recognized accrediting agency or association, or making reasonable progress toward such accreditation, (3) have satisfied both of the above requirements during the five academic years preceding the academic year during which program assistance would be provided--with the exception that the five-year stipulation may be waived for institutions which serve to increase the higher education available to Indians. In addition, three of the five years may be waived for institutions serving substantial numbers of Spanish-speaking persons, (4) admit as regular students only persons having a certificate of graduation from a high school providing secondary education or the recognized equivalent of such a certificate, (5) are public or non-profit, and (6) meet such other requirements as may be prescribed by regulations. The law requires that such prescriptions include an indication that the institutions participating in the program are: (a) making a reasonable effort to improve the quality of their teaching and administrative staffs and student services programs and (b) for financial or other reasons are struggling for survival and isolated from the main currents of academic life. In addition, eight quantitative factors (relating to enrollment, faculty qualifications and salaries, institutional expenditures, library volumes, and the family income of students) and three qualitative factors (relating to enrollment, institutional personnel, and institutional vitality) have been used as criteria to assess institutional eligibility for participation in the program.

In Fiscal Year 1973, the program was divided administratively into the Basic Institutional Development Program (BIDP) and the Advanced Institutional Development Program (AIDP). This division was predicated partially on the conceptual finding of an USOE evaluation study which reported that the process of institutional development may be better viewed as a series of progressive stages, each of which is relatively distinct with respect to needs and capabilities.

Both programs provide assistance to eligible applicant institutions in the form of grants which are awarded competitively on the basis of realistic long-range plans for development and relative ratings along a variety of quantitative and qualitative parameters (including those noted above) which are intended to assess an institution's ability to make effective use of an award. Developing institutions which participate in the Basic program receive one-year grants for the purpose of strengthening the quality of their curriculum, faculty, administration, and student services. Advanced developing institutions receive multi-year awards, which may extend up to five years, for the development of comprehensive planning, management, and evaluation capabilities, for undertaking special purpose programs and innovative projects, and for promoting activities directed toward the attainment of financial self-sufficiency. The strategy of the Basic program is to provide assistance for improvement in general areas of institutional operations among applicants whose pace of development is necessarily modest;

while the strategy of the Advanced program is to select among relatively highly qualified applicants with the objective of accelerating the process of institutional development.

Section 305 of the legislation (P.L. 92-318) allows the Commissioner to lend additional financial assistance to developing institutions under certain other programs of the Higher Education Act. Under this provision, and at the Commissioner's discretion, the non-Federal institutional share of costs for participating in the Titles II, IV, VI, and VII programs may be waived for institutions certified as developing institutions.

Program Scope:

From FY 1966 to FY 1976 over $618 million has been appropriated for this program. Of this amount slightly less than one-third or almost $200 million has been used for the Advanced Institutional Development Program although it has been operative only the last four funding periods. The following Tables (I and II) present in detail the scope of operations for each program over the life of the program.

Of particular interest in each table is the level of funding as contrasted with the request for funds. In recent years the Basic Program has been able to support only about one quarter of total requests while the Advanced Program has only had funds for about a fifth of total requests. Also of interest is the changing nature of program activities in the Basic Program. There appears, for example, to be less need for retraining of faculty (Table I) as the number of national teaching fellowships approved has fallen to 362 in FY 1976 from a high of 1,514 in 1967. Also there has been a marked increase in the number of assisting non-education agencies and businesses.

In FY 1976 the mean award (Table III) for the Basic Program was $256,000 per institution. In the Advanced Program the mean amount was $1.7 million with two-year institutions receiving an average of $1.4 million and four-year schools receiving on average $2.0 million, per institution. $54.4 million or almost half of all funds were awarded to institutions with predominantly black student bodies while $5.8 million and $4.4 million were distributed to institutions serving large numbers of Spanish-speaking and Native American students; a little more and a little less than five percent respectively. Thus, almost 60% of all funds were distributed to institutions serving large numbers of minority students. 1/

1/ This is exclusive of institutions serving large numbers of black students, which do not have predominantly black student bodies.

Table I

A Comparison Between Fiscal Years 1966-1976
Basic Institutional Development Program
Title III, Higher Education Act of 1965

	1966	1967	1968	1969	1970	1971	1972	1973	1974	1975	1976 1/
Funds Appropriated & Obligated (in thousands)	$5,000	$30,000	$30,000	$30,000	$30,000	$33,850	$51,850	$51,850	$51,992	$52,000	$52,000
Funds Requested by Institutions (in thousands)	$32,250	$56,792	$113,925	$95,187	$85,434	$105,048	$143,000	$220,000	$198,000	$222,000	$196,000
Number of Proposals Submitted	310	560	500	464	433	441	456	470	511	491	431
Number of Grantee Developing Inst.	(127)	(411)	(220)	(229)	(227)	(198)	(226)	(235)	(215)	(207)	(202)
Other Non-Grantee Participating Inst.	(31)	(55)	(144)	(186)	(215)	(307)	(330)	(232)	(139)	(230)	(232)
Total Developing Inst. Benefiting from Title III Funds	158	466	368	415	442	305	556	467	354	437	434
Assisting Institutions	66	168	131	142	136	151	185	181	163	141	163
Assisting Agencies & Businesses	9	53	28	47	51	53	101	136	178	118	165
National Teaching Fellowships Approved	263	1,514	727	655	649	541	635	334	524	461	362
Professors Emeriti Awarded	—	—	—	—	56	64	73	45	59	48	38
Geographical Representation of Grantees	38 States & D. C.	47 States Guam P. Rico D. C.	45 States Guam P. Rico V. Isl.	45 States Guam P. Rico V. Isl.	44 States Guam P. Rico V. Isl. D. C.	40 States P. Rico V. Isl. D. C.	43 States P. Rico V. Isl. D. C.	43 States P. Rico V. Isl. D. C.	47 States P. Rico V. Isl. D. C.	44 States P. Rico V. Isl. D. C.	44 States P. Rico V. Isl. D. C. Am. Samoa

1/ Funding for FY 1976 incomplete.

Source: Program files.

Table II

Advanced Institutional Development Program
Title III, Higher Education Act of 1965
Summary of Fiscal Years 1973-1976

	1973	1974	1975	1976	Total
Funds Appropriated & Obligated	$35,500,000	$48,000,000	$58,000,000	$58,000,000	$199,500,000
Funds Requested by Institutions	$336,554,162	$400,387,759	$318,997,848	$314,577,547	$1,370,517,316
Number of Proposals Submitted	156	205	174	134	669
Number of Institutions Funded	28	36	61	34	159
Number of Different Institutions Funded Since 1973	28	36	19	32	115
Number of Grants Awarded	28	36	63	34	161
Geographical Representation of Grantees (States)	22	18	26	23	36
Number of Different Four-Year Colleges Funded	17	23	44	22	75

Source: Program files.

Table III

Funding Summary
Developing Institutions Program
Title III Higher Education Act of 1965
FY 1976

	Fiscal Year 1976		
	Basic	Advanced (in thousands of dollars)	Total
Total Funding - Dollars	$52,000	$58,000	$110,000
Total Funding - Percent	100.0	100.0	100.0
Number of Institutions	203	34	237
Mean Award	$256	$1,706	$464
Funding - Two-Year	$12,480	$13,920	$26,300
Funding - Percent Total	24.0	24.0	24.0
Number of Institutions	73	11	84
Mean Award	$171	$1,265 1/	$313
Funding - Four-Year	$39,520	$44,080	$83,600
Funding - Percent Total	76.0	76.0	76.0
Number of Institutions	130	23	153
Mean Award	$304	$1,917 1/	$546
Funding - Predominantly Black	$25,400	$29,130	$54,530
Funding - Percent Total	48.8	50.2	50.0
Number of Institutions	55	13	68
Mean Award	$462	$2,241	$802
Funding - Spanish-Speaking	$4,643	$1,200	$5,843
Funding - Percent Total	8.9	2.1	5.3
Number of Institutions	31	1	32
Mean Award	$150	$1,200	$183
Funding - Native American	$4,231	$161	$4,392
Funding - Percent Total	8.1	0.3	4.0
Number of Institutions	27	1	28
Mean Award	$157	$161	$157

1/ Includes grant for consortium.

Source: Program files.

Program Effectiveness and Progress:

In the years since the administrative division of Title III into the Basic and the Advanced programs, about 75% of all AIDP participants have been BIDP participants. The remaining grantees have received awards without prior participation in BIDP.

An increasing number of Basic institutions are becoming involved in the Advanced Program each year. In 1976, only 41% of the applicant institutions had previously held Basic grants at any time. In 1977, however, 50% of the applicants had previously held Basic grants. Participation in the Basic program appears to be an increasingly important factor in the ability to submit successful proposals. In 1976, although only 41% of the applicants had previously held Basic grants, 56% of the grants awarded went to these institutions. In 1977, 58% of the Advanced grants went to institutions that previously had Basic grants.

The Advanced Institutional Development Program currently supports over 1,000 activities at 115 institutions by means of 157 grants (NOTE: The activity frequency count is not complete at this time since all data for 1976 grants have yet to be entered in the automated AIDP Evaluation Sub-system). The ten most frequently funded activities, ranked by frequency are:

Rank	Activity Code #	Activity Title
1	202	Vocational and Technical Training
2	000	Planning Phase
3	102	Planning, Management, and Evaluation
4	105	AIDP Coordination and Control
5	304	Instructional Methods and Technology
6	406	Career Counseling/Guidance/Advisement/ Placement/Follow-Up
7	207	Academic Major Programs
8	106	Development of Management Resources
9	101	Management Information Systems
9	201	Remedial Programs
9	301	Community Education
9	405	Academic Counseling/Guidance/Advisement
10	307	Faculty Training for Instructional Development

These activities constitute approximately 75% of all AIDP-funded activities and accounts for approximately 50% of all expenditures under AIDP programs.

A comparison of broad patterns of activity for various types of institutions indicates that there are substantial similarities in activity patterns that cut across classification by minority, level, or control. These seem to be indicative of basic similarities in the needs of most advanced developing institutions and the problems with which they must cope. However, despite these similarities in terms of aggregate activity frequency patterns, there are some striking differences, e.g.:

-- Black institutions have far greater numbers of activities in the areas of professional and pre-professional training, academic majors, organizational change, institutional development, and transactional information systems. Non-black institutions have more numerous community and continuing education programs, individualized instruction, development programs, and cooperative education.

-- Private institutions are characterized by higher frequencies of activities involving development of general education programs, academic majors, and competency-based instruction, while public-supported institutions use their funds more frequently for recruitment/admissions programs, development of transactional information systems and institutional research capabilities, orientation programs and faculty training for curriculum development.

-- Four-year institutions have larger numbers of activities in development of general education, professional/pre-professional programs, development of new academic majors and student orientation, while two-year institutions have more extra-curricular activities and community education programs, and develop institutional research capabilities and individualized instruction more frequently.

As part of a continuing process of making its institutional assistance more effective, the Division of Institutional Development is currently revising its criteria for eligibility as a "developing institution."

Findings of the most recent evaluation study indicate that:

1. The quantitative eligibility criteria that have been used by the Developing Institutions Program appear to differentiate between institutions which applied for basic assistance but were not funded, and institutions which applied for basic assistance and were funded. While there are frequently consistent differences between these groups when the mean values for a particular variable are compared, when institutional type (two- and four-year) and type of control (public vs. private) are controlled for, these differences are not statistically significant, given the large standard deviation in each of the variables. Whereas there are no significant differences between BIDP-funded and non-funded institutions, the largest differences that do exist relate to the enrollments of black students, low-income black students and black students receiving aid.

2. AIDP-funded institutions tend to be larger and better funded than AIDP non-funded applicants, BIDP-funded institutions, and BIDP non-funded institutions. AIDP-funded institutions and non-funded applicants differ significantly with respect to three of the ten eligibility criteria. AIDP institutions have a higher percent of low-income students receiving aid, pay their professors a higher average salary, and spend more on educational and general purposes/FTE student. AIDP institutions are somewhat higher than non-funded institutions on all of the rest of the criteria except average instructor's salaries and number of library volumes. AIDP-funded institutions are higher than BIDP-funded institutions on the basis of all criteria except average instructor's salary.

3. Non-applicant institutions tend to be larger than institutions that applied for and did not receive basic funds and those that applied for and did receive Title III support.

4. BIDP-funded, BIDP non-funded, AIDP-funded and non-applicant institutions all increased their levels of activity over the period 1970-75 in terms of quantitative criteria. The mean values for institutions in each of these categories showed a generally "improving" trend. But there appear to be no significant differences in the rate of "improvement" between Title III funded institutions and the other categories of institutions. Thus, observed development in terms of the quantitative criteria used does not appear to be associated with Title III funding over the period.

5. AIDP-funded institutions appear to have higher total income for educational and general purposes than BIDP or non-funded applicant institutions (to both BIDP and AIDP). AIDP-funded institutions have larger physical-plant assets than either non-funded or BIDP institutions. Of these the public institutions tend to have greater physical-plant assets than private institutions.

6. Correlation studies indicate that institutions receiving support under Title III are generally successful in obtaining support from other sources. There are significantly positive correlations between the amount of Title III award and tuition and fees, State and local funding, and sponsored research for public institutions. For private institutions Title III funding had significant positive correlations with private gifts and other sources of Federal income. No meaningful relationship was found between the level of Title III award and endowment or other educational and general income. There is no evidence to suggest that Title III funding has been substituted for funding from other sources. Correlation, however, does not imply causality. Therefore it cannot be determined whether institutions which successfully acquire other funds also successfully acquire Title III funds, or whether receipt of Title III funds enables institutions to acquire other funds.

Ongoing and Planned Evaluation Studies:

1. Pilot Study to Test Framework for Identifying the State of Institutional Development, Harvard Graduate School of Education, Cambridge, Massachusetts. This pilot will involve in-depth case studies of five developing institutions for the purpose of operationalizing a concept and framework of organizational/decision-making development proposed in the evaluation study just completed, (4) below.

2. The Annual AIDP Evaluation Study conducted for the Advanced Institutional Development Program by the assisting agencies of the AIDP two- and four-year Consortia, respectively, has been substantially modified in terms of approach and data collection techniques in order to bring it into better synchronization with the other evaluation studies mentioned above so as to avoid duplication of effort and to exploit findings made in those studies. The final report is due in late 1977.

3. In-house AIDP evaluation and monitoring capability has been greatly enhanced by the development of the AIDP Evaluation Sub-system, an automated system for the storage and retrieval of descriptive and fiscal data on institutions, grants, and activities. The sub-system permits program personnel to track and analyze the planned and actual expenditures of Federal and non-Federal funds on an aggregate basis and will greatly facilitate program monitoring, short- and long-range planning as well as cost/effectiveness studies.

4. The AIDP Evaluation Sub-system will be followed in FY 78 and 79 by the development of a Program Planning, Monitoring, and Evaluation Sub-system for storing data on institutional performance in terms of achievement of milestones and objectives. This Sub-system will logically complement the Evaluation Sub-system by providing performance data against which expenditures may be examined.

Sources of Evaluation Data:

A Study of Title III of the Higher Education Act: The Developing Institutions Program, Center for Research and Development in Higher Education, University of California--Berkeley, January 1974.

Assessing the Federal Program for Strengthening Developing Institutions of Higher Education, General Accounting Office, October 31, 1975.

Program files, Division of Institutional Development, Bureau of Postsecondary Education.

The Development of Institutions of Higher Education: Theory and Assessment of Impact of Four Possible Areas of Intervention Plus Technical Appendices, Harvard Graduate School of Education, Cambridge, Massachusetts, January 1977.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Annual Interest Grants

Legislation:

Title VII-C, Section 745 of the Higher Education Facilities Act of 1965; as amended by the Higher Education Amendments of 1972 (formerly Title III, Section 306 of the Higher Education Act of 1963; P.L. 88-204)

Expiration Date:

October 1, 1979

Funding History:	Year	Authorization	Appropriation
	1969	$ 5,000,000	$ 3,920,000
	1970	11,750,000	11,750,000
	1971	25,250,000	21,000,000
	1972	38,750,000	29,010,000
	1973	52,250,000	14,069,000
	1974	65,750,000	31,425,000
	1975	79,250,000	-0- 1/
	1976	92,750,000	-0- 1/
	1977	106,250,000	-0- 1/
	1978	119,750,000	4,000,000

1/ No appropriations were requested for continuing grant obligations in FY 1975, FY 1976, or FY 1977, as a result of a change in the obligation accounting procedures for the program. A new procedure was instituted wherein all outstanding obligations were de-obligated so that program obligations will agree contractually with the years in which payments commence under each grant agreement.

Program Goals and Objectives:

Annual Interest Grants is one of four programs (which include also Loans for Construction of Academic Facilities, Grants for Construction of Undergraduate Academic Facilities, and Grants for the Construction of Graduate Facilities) 2/ which were designed to help institutions of higher education meet a national shortage of facilities. The Annual Interest Grant Program became operational in fiscal year 1970 and was designed both to encourage the use of

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2/ Funding for Grants for the Construction of Graduate Facilities ceased in 1969. New funding of Loans for the Construction of Academic Facilities also ceased in 1969 (additional direct loans only being authorized to the extent that funds became available from the cancellation of previous loan commitments).

private capital for construction of academic facilities as well as to reduce the interest burden on borrowers to a level commensurate with direct loans for academic facilities.

Program Operations:

Institutions of higher education, cooperative graduate center boards, and higher education building agencies (i.e., State agencies empowered by the State to issue tax-exempt bonds on behalf of private institutions of higher education) have been eligible to apply for Federal annual interest grant assistance on loans obtained in the private market. Up to 90% of the cost of a project has been eligible for loan subsidies over a fixed period which may not exceed 40 years. Subsidy payments commence after either long-term financing arrangements have been consummated or after the project has been completed--whichever is later. Subsidies represent the difference between the interest amounts payable at the commercial rate on the loan and the amount payable at an interest rate of 3%. Not more than 12.5% of the annual appropriations for this program has been allowed for grants to any one State. Further, the aggregate principal amount of loans (or portions thereof) with respect to which annual interest grant subsidies were approved could not exceed $5 million per campus during any Federal fiscal year.

Prior to receipt by the central office, program applications were first reviewed by State Commissions, and subsequently by the appropriate DHEW regional office, to evaluate the request for assistance with regard to (1) space utilization, (2) enrollment projections, and (3) over-all need for the facility for which assistance was requested.

Program priorities focused first upon applications from public community colleges and public technical institutions, from developing institutions, and from institutions in which enrollments from low-income families were at least 20% of the student body. Applications from all other institutions were regarded as a secondary priority. Within these two priority categories, requests were awarded so as to encourage a distribution of funds to those institutions or branch campuses which were (1) in urgent need of additional academic facilities--either to meet increasing enrollments or to prevent a decrease in enrollment due to inadequate facilities--and (2) committed to the enrollment of substantial numbers of veterans.

Program Scope:

No awards for annual interest grants have been made since fiscal year 1973. Since the program's inception in fiscal year 1970, 711 grants (subsidizing a total loan volume of $1,434,571,000) have been approved. As of the close of fiscal year 1976, 456 of these grants (subsidizing a loan volume of approximately $775,000,000--or 54% of the total) have come into active pay status.

Federal expenditures for subsidies of annual interest grants amounted to $8,000 in FY 1971; $2,105,000 in FY 1972; $6,005,000 in FY 1973; $11,408,000 in FY 1974; $16,657,000 in FY 1975; and $26,348,360 in FY 1976. It is anticipated that when the total loan volume comes into active pay status, annual Federal expenditures will approximate no more than $29,000,000 and that final payments under this program will extend until roughly 2020.

Of the $1,434,571,000 total subsidized loan volume, $364,595,000 (or 25.4%) of the loans are held by two-year institutions and $1,069,976,000 (or 74.6%) of the loans are held by four-year colleges and universities.

Program Effectiveness and Progress:

Since the inception of the Higher Education Facilities Act of 1963, the Federal Government has provided financial assistance for the construction or improvement of academic facilities throughout the 55 States and territories. During the period fiscal year 1965 through fiscal year 1975 almost $2.5 billion in direct Federal grants and loans were awarded. In addition, over $1.4 billion in commercial loans were approved for annual interest subsidy support involving an estimated annual commitment of Federal funds approximating $29 million. Over 1,800 institutions of higher education received financial assistance for the purpose of facilities construction and improvement and some 4,000 facilities costing in excess of $10 billion will have been constructed.

Findings of an USOE planning study report that the total stock of space in 1974 approximated 1,332,300,000 net assignable square feet. Roughly 25% of this total was constructed between academic years 1968-69 and 1973-74. In addition, construction completed by 1976 supplemented this stock by an estimated 80,000,000 square feet. The study also found that nationally aggregated comparisons of space standards with the space available showed few shortages, both for those categories where very specific space standards have been established (i.e., classrooms, laboratories, and office space) as well as for special use, general use, and support space. Non-academic space showed some excess; nonetheless, some shortages of space were observed in office space, study space, and laboratory facilities. When disaggregated, the data showed a tendency for some schools (particularly two-year private colleges) to be space-rich and for others (generally, public universities and public two-year colleges) to exhibit some shortages as a consequence of shifts in enrollment patterns. Other major findings noted (a) that neglecting of maintenance, which can increase the need for remodeling, was estimated to be common at approximately 20% of the public sector institutions and 40% of the private sector colleges and (b) that there was little evidence that the drying up of Federal construction funds has tended to affect college construction decisions.

In view of the large amount of construction over the last 10 years and the anticipated leveling off of higher education enrollments, it appears that the Federal assistance programs for construction of higher education facilities have generally accomplished their objective. While certain areas of the country may still face a shortage of academic space, these deficiencies are believed to be limited, and the existing conditions do not constitute a national problem.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

The Demand for Facilities in the Postsecondary Sector, 1975 to 1990, Joseph Froomkin, Inc., Washington, D. C.; August 15, 1974.

Program files, Division of Training and Facilities, Bureau of Postsecondary Education.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Grants for Construction of Undergraduate Academic Facilities

Legislation:

Title VII-A of the Higher Education Facilities Act of 1965; (formerly Title I of the HEFA 1963; Public Law 88-204); as amended by Public Law 92-318; as amended by Public Law 94-482.

Expiration Date:

September 30, 1979 1/

Funding History:

Year	Authorization	Appropriation
1965	$230,000,000	$230,000,000
1966	460,000,000	458,000,000
1967	475,000,000	453,000,000
1968	728,000,000	400,000,000
1969	936,000,000	83,000,000
1970	936,000,000	76,000,000
1971	936,000,000	43,000,000
1972	50,000,000	43,000,000
1973	200,000,000	43,000,000 2/
1974	300,000,000	-0-
1975	300,000,000	-0-
1976	300,000,000	-0-
1977	300,000,000	-0-
1978	300,000,000	-0-

1/ P.L. 94-482, "Education Amendments of 1976", was passed in September 1976. It authorizes Grants for Construction of Undergraduate Academic Facilities until October 1, 1979, and expanded the scope of the program by authorizing grants for construction and renovation projects designed to:

(1) Economize on the use of energy.

(2) Bring facilities into conformance with the Architectural Barriers Act of 1968 (making facilities accessible to the handicapped).

(3) Bring facilities into conformance with health safety or environmental protection requirements mandated by Federal, State, or local law.

2/ Funds appropriated in fiscal year 1973 were released to the program in May 1974 for obligation during fiscal years 1974 and 1975.

Program Goals and Objectives:

Grants for Construction of Undergraduate Academic Facilities is one of four programs (which include also Loans for Construction of Academic Facilities, Annual Interest Grants, and Grants for the Construction of Graduate Facilities) 1/ which were designed to help institutions of higher education meet a national shortage of facilities. The objective of this program is to provide grants to institutions of higher education to finance the construction, rehabilitation, or improvement of undergraduate academic facilities.

Program Operations:

Funds for public community colleges and public technical institutes under this program are allotted to each State by a formula based on the number of high school graduates and per capita income of residents. Funds for other institutions are allotted to each State by a formula based on the number of students enrolled in institutions of higher education and the number of students in grades 9 through 12. Within each State, Federal grants may be awarded for up to 50 percent of the project development cost. Not less than twenty four percent of funds appropriated under the Title must be reserved for community and technical schools.

Grants are not given for the construction of facilities for which admission is normally charged, for facilities used for sectarian instruction, for facilities for schools of the health professions as defined in the Higher Education Facilities Act, or for residential, dining, and student union facilities.

The law requires that each State establish a Commission for Higher Education Facilities, which would determine priorities, including those regarding the allocation of Federal funds to each project.

Program Scope:

No appropriations have been made for this program since fiscal year 1973. Funds appropriated in fiscal year 1973 were released to the program in May of 1974 for obligation during fiscal years 1974 and 1975. In FY 1974, 13 grants totalling $3,053,735 were made. In FY 1975, 198 grant agreements totalling $39,866,947 were executed--leaving an unobligated balance of $79,318 from the FY 1973 appropriation. No grants were awarded in FY 1976 and it is not anticipated that any awards will be made in FY 1977.

Of the 198 grants awarded during FY 1975, 130 were new grants and 68 were supplemental awards. Public community colleges and public technical institutes were awarded their full allotment of $9,273,991; while all other institutions of higher education were awarded $30,592,956--leaving the unobligated balance of $79,318.

1/ Funding for Grants for the Construction of Graduate Facilities ceased in 1969. New funding of Loans for the Construction of Academic Facilities also ceased in 1969 (additional direct loans were only authorized to the extent that funds became available from the cancellation of previous loan commitments).

Program Effectiveness and Progress:

Since the inception of the Higher Education Facilities Act of 1963, the Federal Government has provided financial assistance for the construction or improvement of academic facilities throughout the 55 States and territories. During the period fiscal year 1965 through fiscal year 1975 almost $2.5 billion in direct Federal grants and loans were awarded. In addition, over $1.4 billion in commercial loans were approved for annual interest subsidy support involving an estimated annual commitment of Federal funds approximating $29 million. Over 1,800 institutions of higher education received financial assistance for the purpose of facilities construction and improvement and some 4,000 facilities costing in excess of $10 billion will have been constructed.

Findings of an USOE planning study report that the total stock of space in 1974 approximated 1,332,300,000 net assignable square feet. Roughly 25% of this total was constructed between academic years 1968-69 and 1973-74. In addition, construction completed by 1976 supplemented this stock by an estimated 80,000,000 square feet. The study also found that nationally aggregated comparisons of space standards with the space available showed few shortages, both for those categories where very specific space standards have been established (i.e., classrooms, laboratories, and office space) as well as for special use, general use, and support space. Non-academic space shows some excess. Nonetheless, some shortages of space were observed in office space, study space, and laboratory facilities. When disaggregated, the data showed a tendency for some schools (particularly two-year private colleges) to be space-rich and for others (generally, public universities and public two-year colleges) to exhibit some shortages as a consequence of shifts in enrollment patterns. Other major findings noted (a) that neglecting of maintenance, which can increase the need for remodeling, was estimated to be common at approximately 20% of the public sector institutions and 40% of the private sector colleges and (b) that there was little evidence that the drying up of Federal construction funds has tended to affect college construction decisions.

In view of the large amount of construction over the last 10 years and the anticipated leveling off of higher education enrollments, it appears that the Federal assistance programs for construction of higher education facilities have generally accomplished their objective. While certain areas of the country may still face a shortage of academic space, these deficiencies are believed to be limited, and the existing conditions do not constitute a national problem.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

The Demand for Facilities in the Postsecondary Sector, 1975 to 1990, Joseph Froomkin, Inc., Washington, D. C.; August 15, 1974.

Program files, Division of Training and Facilities, Bureau of Postsecondary Education.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

State Postsecondary Education Commissions

Legislation:

Higher Education Act of 1965, as amended; Title XII, Section 1202 and 1203; Public Law 89-329, as amended

Expiration Date:

September 30, 1979

Funding History:

Year	Authorization	Appropriation
1965	$3,000,000	$3,000,000
1966	2,000,000	2,000,000
1967	7,000,000	7,000,000
1968	7,000,000	7,000,000
1969	7,000,000	7,000,000
1970	7,000,000	6,000,000
1971	7,000,000	6,000,000
1972	7,000,000	6,000,000
1973	1/	3,000,000
1974	1/	3,000,000
1975	1/	3,000,000
1976	2,000,000 2/	3,500,000
1977	2,000,000	3,500,000
1978	2,000,000	3,500,000

1/ Such sums as are necessary to carry out this section.

2/ Plus such sums as may be necessary to carry out provisions of this section other than Section 1203(c).

Program Goals and Objectives:

The goal of this program is to encourage improved statewide coordination of higher education planning and functions. Specific program objectives include: (1) the establishment of State Postsecondary Education Commissions which are "broadly and equitably representative of the general public and public and private postsecondary education in the State including community colleges, junior colleges, postsecondary vocational schools, area vocational schools, technical institutes, four-year institutions of higher education and branches thereof" and (2) an expansion in the scope of the studies and planning through comprehensive inventories of, and studies with respect to, all public and private educational resources in the State, including planning necessary for such resources to be better coordinated, improved, expanded, or altered so that all persons within the State who desire, and can benefit from, postsecondary education may have an opportunity to do so; and (3) planning, developing, and carrying out interstate cooperative postsecondary education projects designed to increase the accessibility of postsecondary educational opportunities for the residents of the participating States, and to assist such States to carry out postsecondary education programs in a more effective and economical manner.

Program Operations:

The Higher Education Amendments of 1972, Section 1202 (a), P.L. 92-318, amended Title XII of the HEA of 1965 to require the establishment of State Postsecondary Education Commissions if a State desires to participate in the comprehensive planning grants program authorized under Section 1203 of the HEA. Under Section 1202 (c), these State Commissions, popularly called 1202 Commissions in reference to the section of the law authorizing them, may also, at the State's discretion, be designated as the State agency for administering HEA Section 105 (Community Services and Continuing Education, Title I), HEA Section 603 (Undergraduate Equipment Grant Program, Title VI-A), and HEA Section 704 (Grants for Construction of Undergraduate Academic Facilities, Title VII-A). Section 1202 (c) further authorizes the payment of funds to the 1202 Commissions to cover the costs of administering the State plans required under Titles VI-A and VII-A. Section 1202 (d) provides that if a State desires to participate in the Titles VI-A and VII-A programs but does not desire to assign the Titles VI-A and VII-A functions to the 1202 Commission, it must establish a separate State commission which is "broadly representative of the public and of institutions of higher education (including junior colleges and technical institutes) in the State."

Determination of 1202 Commission eligibility for receipt of planning funds has been based upon a review of State-provided information demonstrating how the Commission has met the requirements of Section 1202. Such information must include: (1) a letter, signed by the Governor, explaining how the membership of the State Commission meets the "broadly and equitably representative" requirements of Section 1202 (a) and what provisions have been made to ensure continuing compliance with these requirements of the law; (2) an indication of which of the following three options for establishing a 1202 Commission the State has chosen to follow: (i) creation of a new commission, (ii) designation of an existing State agency or State commission, or (iii) expanding, augmenting, or reconstituting the membership of an existing State agency or State commission; (3) an indication of which, if any, of the Titles I, VI-A, and VII-A programs have been assigned to the commission; and (4) other information regarding various particulars of the commission.

After a 1202 Commission has been established, a State is eligible to participate in the comprehensive planning grant programs authorized under Section 1203 of the Act. Section 1203 (a) authorizes a program of grants for comprehensive planning for postsecondary education on an intrastate basis. This program is operated as a formula grant program. State Commissions must include the following in their applications: (1) a description of the comprehensive planning activities (and their objectives) for which the grant funds are being requested; (2) a description of the need for the activities (including deficiencies or problems in the current status of comprehensive planning for postsecondary education in the State; (3) a description of the approach (including the methods to coordinate with institutions and agencies concerned with postsecondary education in the State); and (4) a description of the anticipated benefits and results to be obtained from the proposed planning activities (including the use of such results and their relationship to the needs indicated previously).

Section 1203 (c) of the Act authorizes a program of grants to State Commissions and to interstate compact postsecondary educational agencies, applying jointly, for comprehensive planning for postsecondary education on an interstate basis. Final eligibility and funding criteria for this program are being developed. However, no funds have been requested or appropriated for this program.

Program Scope:

Fifty-two 1202 Commissions (representing 47 States and 5 jurisdictions) were eligible for fiscal year 1977 funding in support of Section 1203 (a) planning activities during 1977-78. Of the 52 commissions, 21 were newly established commissions, 18 are existing agencies, and 13 are augmented agencies. Thirty-one of the commissions were also assigned the responsibilities for coordinating the Titles I, VI-A, and VII-A programs; 7 commissions were assigned responsibilities for administering the Titles VI-A and VII-A programs only; one (1) commission was assigned the responsibility for administering the Title I program only; and 13 commissions were assigned no responsibilities for Federal programs other than the Section 1203 planning activities and the review of proposals submitted both to the Fund for the Improvement of Postsecondary Education, and to OE for graduate fellowships under Title IX, HEA.

Latest data regarding 1202 Commission membership reflect composition by type of institution represented, by sex, and by race. With respect to institutional representation, 63.09% of 745 members represented the general public, 9.26% represented public four-year institutions, 3.22% represented public community and junior colleges; 6.58% represented public vocational and technical institutes, 9.13% represented private non-profit institutions, 3.62% represented proprietary schools, and 5.10% represented other interests. By sex, 80.19% of 757 members were male and 19.81% were female. By race, 9.02% of 732 members were Black Americans, 1.37% were American Indians, 1.23% were Asian Americans, 3.14% were Spanish-surnamed Americans, and 85.24% were members of all other racial classifications.

Of the $3,500,000 appropriation for Fiscal Year 1977, $500,000 was apportioned among State Higher Education Facilities Commissions. The remaining $3 million was distributed among the 52 applicant 1202 Commissions on a two-part formula in which (1) each applicant received $30,000 and (2) the balance of the funds ($1,440,000) were allocated on the basis of the ratio of the population of a postsecondary age (i.e., ages 17 and above as indicated in the latest data available from the U.S. Bureau of the Census) in a given State to the total in all those States which applied. Under this procedure, grants ranged from a low of $30,144 to a high of $182,280--with the average being slightly less than $58,000.

During 1976-77, the Section 1203 (a) grants supported a wide variety of postsecondary educational planning activities in areas including, but not limited to, the following: (1) continuing education, educational brokering, and non-traditional education; (2) studies of manpower needs in various fields, including allied health fields; (3) student assistance needs and resources; (4) role and scope of all postsecondary institutions in the State; (5) structure and governance of postsecondary education; (6) occupational education; (7) proprietary schools; (8) establishing and expanding data bases and management information systems; (9) enrollment projections; and (10) facilities planning and analysis activities.

Program Effectiveness and Progress:

In general, more recent applications were of better quality than those submitted in the first year of the program. The States appear to be assessing their individual planning needs in a more coordinated fashion, with many of the proposed activities building upon others which were already in progress or completed. In addition, the Fund for the Improvement of Postsecondary Education found that the 1202 Commissions are taking more initiative in reviewing Fund proposals and that the problems exhibited during the FY 1974 cycle (those included (1) the need for a constant educative process of State personnel, since the timing of the review of Fund proposals were coincidental with the establishment of the 1202 Commissions, (2) the greater difficulty faced by smaller States in devoting staff resources to the review of proposals, and (3) some suggestions that, in States where a large university system existed, bias was shown in favor of institutions within that system, while those outside of the system received less favorable reviews) appear to have been alleviated. Also, recent information suggests that while progress has been made in the coordination of postsecondary planning with statewide vocational and manpower planning, it has not been as widespread and effective as might be desired.

One unresolved issue relates to the question of how strictly and in what manner the "broadly and equitably representative" language of the law should be interpreted. During FY 1975 this question was raised with regard to the composition of 1202 Commissions in 6 States. None have been raised since then. The concerns were referred to the respective Governors for resolution and have since been resolved. Also, what role should the Office of Education play with regard to Commission make-up, with regard to Commission activities, and in what areas of activity, if any? This issue remains unanswered at this time.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

Program files, State Planning Commissions Office, Bureau of Higher and Continuing Education.

The Changing Map of Postsecondary Education, State Postsecondary Education Commissions (1202): Their Origin, Development, and Current Status, Education Commission of the States, Denver, April 1975.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Language Training and Area Studies

Legislation:

National Defense Education Act of 1958. Title VI; Public Law 85-864; as amended by Public Law 88-665; as amended by Public Law 90-575; as amended by Public Law 92-318

Expiration Date:

October 1, 1977

Funding History:

Year	Authorization	Appropriation
1964	$ 8,000,000	$ 8,000,000
1965	13,000,000	13,000,000
1966	14,000,000	14,000,000
1967	16,000,000	15,800,000
1968	18,000,000	15,700,000
1969	16,050,000	15,450,000
1970	30,000,000	12,850,000
1971	38,500,000	7,170,000
1972	38,500,000	13,940,000
1973	50,000,000	12,500,000
1974	75,000,000	11,333,000
1975	75,000,000	11,300,000
1976	75,000,000	13,300,000
1977	75,000,000	14,650,000
1978	75,000,000	15,000,000

Program Goals and Objectives:

Programs for foreign language and area studies funded under this appropriation have four major purposes: (1) increase the nation's manpower pool of trained specialists in foreign language, area studies, and world affairs; (2) provide in-service training to upgrade and update the professional knowledge and skills of existing specialists in foreign language, area studies, and world affairs; (3) produce new knowledge about other nations and cultures, particularly those of the non-Western world, through research and development; and (4) develop improved curricula and effective instructional materials in foreign languages, area studies, and world affairs needed by education, government, and business.

The National Defense Education Act, Title VI, authorizes the award of grants and contracts to U.S. educational institutions, organizations, and individuals for activities conducted primarily in the United States.

Program assistance includes institutional development, fellowship support, and research in foreign language, area studies, world affairs, and intercultural understanding.

Program Operations:

(a) The Secretary is authorized to make grants to or contracts with institutions of higher education for the purposes of establishing, equipping, and operating graduate and undergraduate centers and programs for the teaching of any modern foreign language, for instruction in other fields needed to provide a full understanding of the areas, regions, or countries in which such language is commonly used, or for research and training in international studies and the international aspects of professional and other fields of study. Any such grant or contract may cover all or part of the cost of the establishment or operation of a center or program, including the costs of faculty, staff, and student travel in foreign areas, regions, or countries, and the costs of travel of foreign scholars to teach or conduct research, and shall be made on such conditions as the Secretary finds necessary to carry out the purposes of this section.

(b) The Secretary is also authorized to pay stipends to individuals undergoing advanced training in any center or under any program receiving Federal financial assistance under this title, including allowances for dependents and for travel for research and study here and abroad, but only upon reasonable assurance that the recipients of such stipends will, on completion of their training, be available for teaching service in an institution of higher education or elementary or secondary school, or such other service of a public nature as may be permitted in the regulations of the Secretary.

(c) No funds may be expended under this title for undergraduate travel except in accordance with rules prescribed by the Secretary setting forth policies and procedures to assure that Federal funds made available for such travel are expended as part of a formal program of supervised study.

(d) The Commissioner is authorized, directly or by contract, to make studies and surveys to determine the need for increased or improved instruction in modern foreign languages and other fields needed to provide a full understanding of the areas, regions or countries in which such languages are commonly used, to conduct research on more effective methods of teaching such languages and in such other fields, and to develop specialized materials for use in such training, or in training teachers of such languages or in such fields.

Program Scope:

Recent studies of foreign language and area studies programs in the U.S. reveal the growth in the development of non-Western studies since enactment of the NDEA in 1958. Whereas in 1958, some 37 "uncommonly taught" languages were offered in U.S. universities, in 1975 approximately 101 modern foreign languages were taught at NDEA centers; a 1970 survey of foreign language enrollments reveals that while higher education registrations in most of the foreign languages traditionally taught in American higher education have been in a distinct downward trend since 1968, student enrollments in Italian, Spanish, and in over 100 of the less commonly taught languages taken collectively have increased significantly--by 12.8%, 6.7%, and 39.4% respectively.

While enrollments in the uncommonly taught languages are increasing, total enrollments in these languages remain small. For example, in 1970 there were only 5,319 undergraduate and 796 graduate students studying Chinese. By 1974-75 enrollments had increased to 9,468 undergraduate and 1,108 graduate, and recent indications are that enrollments in Chinese language courses are still increasing.

The NDEA foreign language training and area studies program provides a means for correcting existing disciplinary and geographic imbalances, broadening the scope of areas training, and improving and maintaining language skills.

In fiscal year 1977, $14,650,000 was available to fund 80 centers, 25 two-year undergraduate and 13 graduate programs, 832 graduate fellowships, and 35 research projects under NDEA Title VI.

The average cost of a graduate/undergraduate center was $109,000 with enrollments of 64,000 students; the undergraduate centers enrolled about 14,000 students and the average center cost was about $50,000. The average cost per fellowship was $5,400 and the average research project cost about $25,000. The cost of the 13 exemplary graduate projects was $40,400 and the undergraduate projects cost was $33,000.

Program Effectiveness and Progress:

A review of foreign language and area studies programs in the U.S. (based on a sample of 13,000 foreign language and area studies specialists, of whom about 10,000 are college or university faculty members) has provided data on the impact of the NDEA program. A sampling of previous holders of NDEA VI fellowships showed that almost all (89.1%) of the fellows used their foreign area training in their first job. Of the Ph.D. graduates, 99% were employed as language and world area specialists. The survey also indicates that the existing pool of specialists needs more focused development in certain aspects in order to achieve an upgrading of language skills. Of the world area specialists surveyed, only 25% reported that they can easily speak, read, and write a language of their area. A major factor in acquiring and maintaining proficiency in foreign languages is the opportunity to utilize the language in the country where it is in regular use.

Studies on international and intercultural education, and new curricula and instructional materials are intended for use in schools and colleges throughout the U.S. The impact of this program is suggested by a materials utilization survey which provides specific data on instructional materials for 50 different languages in 82 foreign language and area studies programs. Results of the survey show, for example, that of 24 respondent institutions engaged in teaching Chinese, 21, or 88 percent were using materials produced under National Defense Education Title VI support; of 17 programs offering instruction in Hindi, 100 percent were using National Defense Education materials; and 6 out of 7 Arabic programs similarly reported utilization of National Defense Education Act-supported materials.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

Language and Area Studies Review, Richard D. Lambert, (published in August 1973 by the American Academy of Political and Social Science and the Social Science Research Council).

International Studies and the Social Sciences: A Survey of the Status of International/Comparative Studies and Recommendations Concerning National Needs and Priorities, James N. Rosenau (Minneapolis, Minnesota: International Studies Association, June 1971).

1970 Census of International Programs in State Colleges and Universities, American Association of State Colleges and Universities (Washington, D. C.: AASCU Studies 1971/3, August 1971).

Program Data.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Fulbright-Hays Act

Legislation:

Mutual Educational and Cultural Exchange Act of 1961. Section 102(b)(6); Public Law 87-256; as amended by Public Law 87-565; as amended by Public Law 89-698.

Expiration Date:

None

Funding History:

Year	Authorization	Appropriation
1964	1/	$1,500,000
1965		1,500,000
1966		2,000,000
1967		3,000,000
1968		3,000,000
1969		3,000,000
1970		2,430,000
1971		830,000
1972		1,323,000
1973		1,360,000
1974		1,360,000
1975		2,700,000
1976		2,700,000
1977		3,000,000
1978		3,000,000

1/ Indefinite, does not require specific money authorization.

Program Goals and Objectives:

The legislated purpose of this program is to promote modern foreign language training and area studies in United States schools, colleges, and universities by supporting visits, and study in foreign countries by teachers and prospective teachers in such schools, colleges, and universities for the purpose of improving their skill in languages and their knowledge of the culture of the people of these countries, and by financing visits by teachers from those countries to the United States for the purpose of participating in foreign language training and area studies in United States schools, colleges, and universities.

Program Operations:

Programs funded under Section 102(b)(6) of the Fulbright-Hays Act provide opportunities to individuals for first-hand experiences in the locales of their respective specialization areas. Specifically, fellowships are provided for updating and extending research knowledge, and maintaining and improving language skills. The program also provides fellowships for faculty and doctoral dissertation research, supports group projects for research and training, as well as curriculum consultant services of foreign educators to improve foreign languages, area studies and intercultural education in U.S. schools and colleges.

Programs for foreign language and area studies funded under this appropriation have four major purposes: (1) increase the Nation's manpower pool of trained specialists in foreign language and area studies, (2) provide inservice training to upgrade and update the professional knowledge and skills of existing specialists in foreign language, and area studies, (3) produce new knowledge about other nations and cultures, particularly those of the non-Western world; and (4) develop curricula and instructional materials in foreign language, and area studies, needed by education, government, and business.

Program Scope:

In fiscal year 1977 this program supported 118 doctoral dissertation research fellowships, 23 group projects, 20 curriculum consultant grants and 52 faculty research fellowships.

Program Effectiveness and Progress:

A recent review of foreign language and area studies programs in the U.S. demonstrated that adequate opportunities for research and study abroad are critical to improving the quality of specialists training. Over 85% of those included in the survey reported a need to increase opportunities for studying language in its natural setting. While in absolute terms there has been substantial growth in the numbers of specialists with some overseas experience, the survey reveals that on the average the depth of experience abroad is inadequate. Furthermore, although as a group the specialists have had experience in a wide range of countries, the research of a majority of the specialists has been clustered in a small number of countries. In brief, a few countries are overstudied, relatively speaking, while a large number are understudied.

The Fulbright-Hays programs therefore provide a resource for training specialists in areas of greatest need and for helping improve the caliber of training in language and area studies through research and study abroad.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

Language and Area Studies Review, Richard D. Lambert, (published in August 1973 by the American Academy of Political and Social Science and the Social Science Research Council).

Program Data.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Community Service and Continuing Education Program

Legislation:

Higher Education Act of 1965. Title I; Public Law 89-329, 20 U.S.C. 1001 as amended by Public Law 90-575; 20 U.S.C. 1001, 1005, 1006; as amended by Higher Education Amendments of 1972.

Expiration Date:

June 30, 1976 1/

Funding History:

Year	Authorization	Appropriation
1966	$25,000,000	$10,000,000
1967	50,000,000	10,000,000
1968	50,000,000	10,000,000
1969	10,000,000	9,500,000
1970	50,000,000	9,500,000
1971	60,000,000	9,500,000
1972	10,000,000	9,500,000
1973	30,000,000	15,000,000
1974	40,000,000	14,250,000
1975	50,000,000	14,250,000
1976	50,000,000	12,125,000
1977	40,000,000	14,125,000
1978	40,000,000	18,000,000

1/ The Act "Education Amendments of 1976" was passed in October 1976. Title I Part A of the Act authorizes the Community Service and Continuing Education Program through Fiscal Year 1979. It also authorizes a new Part B, Lifelong Learning, which will be reported on next year.

Program Goals and Objectives:

The Community Service and Continuing Education (CSCE) program provides support to the States and to institutions of higher education for the following purposes:

(1) To assist in the solution of community problems by strengthening community service programs of colleges and universities;

(2) To support the expansion of continuing education in colleges and universities; and

(3) To support planning for resource materials sharing.

The Community Service and Continuing Education program has been especially designed to meet the educational needs and interests of adults who have been inadequately served by traditional educational offerings in their communities.

Program Operations:

The program has three distinct parts: a State-grant authority, Special Experimental and Demonstration Projects, and Special Programs for the elderly.

The State Grant program is administered by designated State agencies each of which develops a State plan, establishes priorities among problem areas and is responsible for reviewing and approving institutional proposals for support. One third of total program costs must be met from non-Federal funds.

Special Experimental and Demonstration Projects were authorized by the Education Amendments of 1972. Section 106 provides for a set-aside of 10% of appropriations to carry out projects designed to seek solutions to national and regional problems relating to technological and social change and environmental pollution. Priorities are determined annually by the Commissioner in consultation with the National Advisory Council on Extension and Continuing Education. Grants are made by the Office of Education to institutions on the basis of proposals submitted by them.

Special programs for the Elderly were authorized by the Older Americans Comprehensive Services Amendments of 1973. No funds have been made available, therefore this authority has not been exercised.

Program Scope:

All 55 eligible jurisdictions are participating in the program.

In FY 1976, 533 project grants were made for the conduct of specially designed continuing education programs by State agencies to 645 institutions of higher education. Some 130 of these projects were multi-institutional arrangements which called for the pooling of resources to meet statewide or regional educational needs. The most significant increase in institutional participation has been among the two-year colleges; these constituted 12 percent of total institutions in 1967 and 33 percent in 1976. Operational projects in FY 1976 provided continuing education for 405,000 adults to assist in the process of community problem solving. More than 400 institutions conducted learning activities off-campus in public buildings, community agencies, schools and church basements.

Seventeen special demonstration projects were funded in FY 1976. Fourteen of these projects were continuations of these projects, with awards ranging from $8,924 to $107,000, focused on both national and regional problems and involved 45 institutions of higher education. Four projects will develop special continuing education programs in the areas of land use, energy conservation and consumer affairs. Ten projects will utilize innovative approaches to the educational needs of women, local government officials, prison inmates and elderly or handicapped citizens. Joint evaluations are planned for two projects aimed at prisoners and ex-offenders as well as two projects serving the elderly. In addition an award was made to Columbia University to undertake an evaluation of a continuing education program for women. Two projects were initiated in the priority areas of citizen alienation and a single project in the evaluation of education for mid-career change at the community level.

Program Effectiveness:

On March 31, 1975, the National Advisory Council on Extension and Continuing Education presented to the Congress its mandated evaluation of the program. The Council conducted field reviews of 14 State programs and projects, employed two independent contractors to review additional projects, analyzed all State plans and identified characteristics of projects associated with success.

One of the contractors, Peat, Marwick and Mitchell, and Co. studied 25 exemplary projects nominated by State agencies. The study showed that one major outcome of the program was a participating institution's heightened awareness of its community's problems. Less positive results emanated from an evaluation of Federal and State administration of the program. The researchers also suggested that there is a problem with the ambiguity of the legislation as it relates to program scope. Finally, the report indicates that potential benefits from the program are high since it remains the only program focusing upon postsecondary institutions and community service.

The Council's report concluded the program has stimulated a significant number of colleges to modify traditional programs and direct resources to community education for problem solving. Participating institutions numbered 314 in 1967 and 731 in 1973. It was determined that institutional capabilities are strengthened most notably by activities supported for sufficient duration, which are consistent with institutional goals and are cooperatively planned.

The Council's recommendations indicates the need for improved State planning both for postsecondary education generally and continuing education specifically. The Council suggests that program performance would be further enhanced by the provision of technical assistance from Federal administration to States and institutions particularly as related to the development of State plans.

Ongoing and Planned Evaluation Studies:

Survey of State Advisory Committees: study being conducted by Program Staff.

Sources of Evaluation Data:

Program data files, Bureau of Postsecondary Education.

Peat, Marwick and Mitchell and Co., "Evaluation of Projects Supported Under Title I of Higher Education Act of 1965," Washington, D. C., July 1974--part of the National Advisory Council's review of the Title I program.

Program evaluation, Title I, by National Advisory Council on Extension and Continuing Education, March 31, 1975.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Land-Grant Colleges and Universities

Legislation:

Second Morrill Act of 1890, as amended; 26 Stat. 417; 7 U.S.C. 322,323; Bankhead-Jones Act, as amended; 49 Stat. 439; Public Law 182; 7 U.S.C. 329 as amended Title IX, Sec. 506 Higher Education Amendments of 1972

Expiration Date:

Indefinite

Funding History:

Year	Authorization	Appropriation 1/
1964	$14,500,000	$14,500,000
1965	14,500,000	14,500,000
1966	14,500,000	14,500,000
1967	14,500,000	14,500,000
1968	14,500,000	14,500,000
1969	14,720,000	14,550,000
1970	14,922,000	14,720,000
1971	14,720,000	12,680,000
1972	14,720,000	12,600,000
1973	15,160,000	18,700,000 2/
1974	15,160,000	12,200,000
1975	15,160,000	12,200,000
1976	15,160,000	12,200,000
1977	15,160,000	14,200,000
1978	15,160,000	14,200,000 3/

1/ Figures are the sum of permanent appropriations under the Second Morrill Act (i.e., $50,000 for each State and each jurisdiction regarded as a State for the purpose of this Act) and funds annually appropriated under the Bankhead-Jones Act.

2/ This figure includes a one-time appropriation of $6,000,000 for the two newly designated land-grant colleges of the Virgin Islands and Guam. Each jurisdiction received $3,000,000 to be invested in U.S. Government or other safe bonds, with the resulting interest to be used by the land-grant colleges.

3/ Bankhead-Jones appropriation of $11.5 million transferred to Department of Agriculture by P.L. 95-113.

Program Goals and Objectives:

The goal of the land-grant programs is to lend Federal support to the several States, and jurisdictions regarded as States for the purpose of this legislation, for collegiate-level instruction in agriculture and the mechanical arts. In addition, program funds may be used to support instruction in the English language and the various branches of mathematical, physical, natural, and economic sciences. The objective of the Morrill Act of 1862 was to provide public lands to any State that would agree to establish an institution in which programs in agriculture and the mechanical arts would be available to the sons and daughters of working class people. The objective of the Morrill Act of 1890 was to provide funds to those States having a dual school system, with the use of such funds authorized for the establishment of a land-grant college for black persons. Later amendments to the land-grant colleges program were designed to maintain and increase the level of Federal support in continuing the availability of these educational programs for persons whose educational opportunities were limited.

Program Operations:

A land-grant college or university is an institution designated by a State legislature for the benefits of the First Morrill Act of 1862 or the Second Morrill Act of 1890. The original Act provided public land (in the amount of 30,000 acres for each Senator and Representative of a State) in order to ensure the development in each State of at least one institution "to teach such branches of learning as are related to agriculture and the mechanical arts." The Second Morrill Act provided for an appropriation of $25,000 for each State having a land-grant institution. The Nelson Amendment of 1907 doubled these appropriations to $50,000. The Bankhead-Jones Act of 1935 provided for additional support. Puerto Rico was added in 1908; the District of Columbia in 1969; and both Guam and the Virgin Islands were so designated in 1973.

In addition to the permanent appropriation of $50,000 provided under the Second Morrill Act, each of the 54 jurisdictions receives a minimum of $150,000 under the Bankhead-Jones Act, with any additional allotment being apportioned among the jurisdictions in proportion to their populations. Monies are paid directly to State Treasurers and, in the event that more than one land-grant institution exists in a State, State Legislatures must provide by statute for the division of these monies. Funds may not be used to purchase land, nor may they be applied to the purchase, erection, repair, or preservation of buildings. Each land-grant institution is required to provide annually to the U.S. Office of Education a report on the expenditure of monies under this program.

Program Scope:

In fiscal year 1977, $14,200,000 was apportioned among the 54 jurisdictions in grants ranging in size from $201,031 to $529,252. The average grant per jurisdiction was $262,963. Approximately 94% of these funds were used for salaries of instructors and the remaining 6% was expended for instructional equipment. Over the history of the program, the average breakdown of expenditures has been 95% for faculty salaries and 5% for instructional equipment.

Of the 72 land-grant institutions, only Cornell University in Ithaca and the Massachusetts Institute of Technology retain elements of private control. All of the land-grant colleges offer educational programs of more than two years duration. Currently, 17 States and the District of Columbia maintain two land-grant institutions, with the second land-grant institution in 16 of the States being established under the provisions of the Second Morrill Act of 1890. Nineteen of the land-grant institutions are predominantly black. In FY 1977 the average grant per institution was $197,222.

Program Effectiveness and Progress:

The land-grant colleges and universities program assists 72 land-grant institutions in meeting the continuing costs of instruction and equipment. Since these grants form a very small part of the institutions recent budgets and the use of land-grant monies is of a discretionary nature, the current impact of these funds is difficult to assess. Nonetheless, abundant historical evidence indicates that the land-grant institutions created by this program have provided the bulk of the technical expertise which has made the U.S. Agricultural sector the most technologically advanced and dynamic in the world.

Ongoing and Planned Evaluation Studies:

None.

Sources of Evaluation Data:

Program files, Division of Training and Facilities, Bureau of Postsecondary Education.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

College Teacher Fellowships

Legislation: **Expiration Date:**

Title IV of the National Defense Education Act of 1958; Public Law 85-864; as amended; 20 U.S.C. 462.

September 30, 1979

Funding History:

Year	New Fellowships Authorized	Fellowships Support			Appropriation
		New	Continuing	Total	
1965	3,000	3,000	3,000	6,000	$32,740,000 1/
1966	6,000	6,000	4,500	10,500	55,961,000 2/
1967	7,500	6,000	9,000	15,000	81,957,000 3/
1968	7,500	3,328	12,000	15,328	86,600,000 4/
1969	7,500	2,905	9,328	12,233	70,000,000
1970	7,500	2,370	6,233 (a)	8,603	48,813,000
1971	7,500	2,100	6,245 (b)	8,345	47,285,500
1972	7,500	0	4,650 (c)	4,650	26,910,000 5/
1973	7,500	0	2,980 (d)	2,980	20,000,000 6/
1974	7,500	0	880 (e)	880	5,806,000 7/
1975	7,500	0	95 (f)	95	4,000,000 8/
1976	7,500	0	24 (g)	24	1,000,000 9/
1977	--	--	—	--	100,000 10/

1/ $177,000 of FY 1965 appropriations were transferred for payment of teacher cancellations, NDEA II.

2/ $137,000 of FY 1966 appropriations were transferred for payment of teacher cancellations, NDEA II.

3/ $1,115,000 of FY 1967 appropriations were transferred for payment of teacher cancellations, NDEA II.

4/ $325,000 of FY 1968 appropriations were transferred for payment of teacher cancellations, NDEA II.

5/ $48,150 of FY 1972 appropriations were transferred to the National Science Foundation to help finance the Foundation's "Survey of Earned Doctorates." Also, $9,000 was obligated for the Advisory Council on Graduate Education."

6/ $60,000 of FY 1973 appropriations were transferred to the National Science Foundation to help finance the Foundation's "Survey of Earned Doctorates."

7/ $65,000 of FY 1974 appropriations were transferred to the National Science Foundation to help finance the Foundation's "Survey of Earned Doctorates."

8/ $130,500 of FY 1975 appropriations were transferred to the National Science Foundation to help finance the Foundation's "Survey of Earned Doctorates."

[illegible]/ $81,300 of FY 1976 appropriations were transferred to the National Science Foundation for the "Survey of Earned Doctorates." $125,000 was transferred to the State Facilities Commissions to cover administrative costs. $300,000 of the FY 1976 appropriations were transferred to the NEA Title I Commissions.

10/ $100,000 appropriation in FY 1977 were transferred to the National Science Foundation to help finance the Foundation's "Survey of Earned Doctorates."

Continuing Support:

(a) Includes 170 special fellowships for veterans.
(b) Includes 770 special fellowships for veterans and 200 fourth year fellowships.
(c) Includes 180 special fellowships for veterans.
(d) Includes 880 special fellowships for veterans.
(e) All 880 fellowships are special fellowships for veterans.
(f) All 95 fellowships are special fellowships for veterans.
(g) All 24 fellowships are special fellowships for veterans.

Program Goals and Objectives:

The original objectives of this program were to increase the supply of well-trained college teachers and encourage the development of doctoral level education on a broad geographic basis by providing three-year fellowship support for graduate students. However, in recent years the shift to a condition of oversupply of doctorates has resulted in diminished funding and a change in focus toward training of returning veterans who were previous Fellows.

Program Scope:

This program aids graduate schools in strengthening their doctoral programs, in developing interdisciplinary programs tailored to prepare teachers in fields of emerging manpower needs, and in helping veterans formerly on fellowships resume their education in order to prepare for academic careers.

Each fellowship covers a three year period with a possible fourth year and provides each fellow with a $3,000 a year stipend and $500 per year per dependent. In addition, a $3,000 per year educational allowance is provided to the institution for each fellow actively enrolled to cover tuition and other non-refundable fees.

Panels of academic consultants review institutional applications and recommend specific doctoral programs to the Commissioner for final approval. Funds for these programs are made to institutions which reallocate them to individual graduate students selected by institutions themselves.

Program Operations:

Funds budgeted for the College Teacher Fellowship Program in FY 1976 were used to support 24 returning veterans during the FY 1976-77 year as the program continues to be phased out in light of existing supply of and demand for recent graduates with advanced degrees. The year 1976-77 was expected to be the last year of funding for this program since all fellows should have completed their tenure by the summer of 1977. In light of possible funding, this program may be extended another year.

Program Effectiveness and Progress:

Since the original objective of increasing the supply of college teachers is no longer applicable, the current program activity can be judged only in terms of its effectiveness in serving returning veterans. These veterans were given the opportunity to complete the fellowship programs which they had begun prior to entering military service. From data on past outcomes, 3 of every 4 fellowship holders who complete their program have been employed by institutions of higher education. Given the current demand for college teachers there is some question that this ratio will be maintained.

Ongoing and Planned Evaluation Studies:

None. Closing out all old records and prior years will receive top priority.

Sources of Evaluation Data:

Study of NDEA, Title IV Fellowship Program, Phase II, Bureau of Social Science Research, Washington, D. C., July 1970.

Program files, Graduate Training Branch, Division of Training and Facilities, Bureau of Postsecondary Education.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Higher Education Personnel Fellowships (Title V, Part E, of the Higher Education Act, as amended)

Legislation:

Education Professions Development Act; Part E, Section 541 and 542, Public Law 90-35; 20 U.S.C. 119b and 20 U.S.C. 119b-1. The program's authorization terminated on June 30, 1976.

Expiration Date:

June 30, 1976

Funding History:

Year	Total Authorization	Fellowships Appropriation
1969	$21,500,000	$2,200,000
1970	36,000,000	5,000,000
1971	36,000,000	5,000,000
1972	36,000,000	5,044,000
1973	5% or more of total	2,172,000
1974	"	2,100,000
1975	"	530,000
1976	"	--

Program Goals and Objectives:

The purpose of this program was to increase the number and/or capabilities of teachers, administrators and specialists at the postsecondary level, in areas of critical need. Funds provided one and two-year fellowships for graduate study.

Program Operations:

Support was provided to: (1) programs that have a high promise for improvement over past practices in their training of higher education personnel; (2) programs that prepare personnel for the higher education needs of students from low-income families; (3) programs that train and retrain teachers, administrators, or educational specialists for junior colleges and two-year community colleges located in urban areas; (4) programs that prepare personnel in higher education who will serve in developing institutions; (5) programs that prepare administrators, including trustees, presidents, deans, department chairmen, development officers, and financial aid officers; (6) programs that provide graduate level education for women, Native Americans, and the bilingual training for careers in higher education; (7) programs that are a basic combination of the above priorities and which show evidence of effective communication between faculty, students, administration, and where appropriate, local communities in the planning and implementation of the proposed program.

Institutions of higher education applied directly to the Office of Education for fellowships. Applications were reviewed by panels of faculty members and administrators representing American higher education. Their recommendations were then made to the Commissioner of Education.

Fellowship support was provided for one or two year programs. Financial assistance was distributed in the following manner: $3,000 to students for each fellowship year; fellows were also entitled to $500 during the fellowship year for each eligible dependent; the institution received $3,000 a year for each fellow to pay for his tuition and required non-refundable fees.

Program Scope:

Some indication of the program's reach and operation can be obtained from program funding data.

	Fiscal Year		
Output Measures	1973	1974	1975 1/
Number of Institutions Participating	62	47	22
Number of Approved Programs	65	47	22
Number of Fellowship Awarded			
Total	441	316	78
(New)	(92)	(250)	(78)
(Continued)	(349)	(66)	(0)
Number of Fellowships Awarded in Training of Personnel As:			
Total	441	316	78
Teachers	(286)	(167)	28
Education Specialist	(44)	(67)	14
Administrators	(111)	(82)	36
Number of Fellowships Awarded to Train Personnel to Serve in:			
Total	441	316	78
Junior Colleges	(344)	(262)	52
Other Institutions	(97)	(54)	26
Average Yearly Amount of Fellowships	$6,500	$6,500	$6,500

1/ No FY 1976 funds were appropriated for the continuation of this program.

Program Effectiveness and Progress:

Because of sharply reduced funding levels, it is believed that this program had only minimal impact upon the diversity of institutions and training functions outlined under "Program Operation" in recent years. The number of participating institutions in FY 1975 decreased by 65 percent since FY 1973 and the number of Fellowships awarded has decreased by 82 percent. No funds were available in FY 1976.

Ongoing and Planned Evaluation Studies:

None. No further reports on the program after this year are planned.

Sources of Evaluation Data:

Program files, Division of Training and Facilities, Bureau of Postsecondary Education.

Abt Associates, Cambridge, Massachusetts. A Study of the Education Professions Development Act Training Programs for Higher Education Personnel. February, 1973.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

EPDA, Part E Institutes (Title V, Part E, of the Higher Education Act, as amended)

Legislation:

Education Professions Development Act of 1967 as amended. Part E, Section 541 and 542, Public Law 90-35; 20 U.S.C. 119b and 20 U.S.C. 119b-1; Section 533, P.L. 94-482 (NOTE: Section 543 was repealed by Section 141(c)(1)(G) P.L. 92-318). The program's authorization terminated on June 30, 1976.

Expiration Date:

June 30, 1976

Funding History:

Year	Total Authorization	Institutes Appropriation
1969	$21,500,000	$4,700,000
1970	36,000,000	5,000,000
1971	36,000,000	5,000,000
1972	36,000,000	5,000,000
1973	5% or more of the total EPDA Appropriation	5,132,000
1974	"	--
1975	"	1,570,000
1976	"	--

Program Goals and Objectives:

The purpose of this program was to train teachers, administrators, or education specialists for higher education by providing support for institutes and short-term training programs. Such institutes focused upon specialized topics having practical interest and application to the current responsibilities of these teachers, administrators, and specialists.

Program Operation:

This program provided support for in-service or pre-service part- or full-time, up to 12 months duration; training of college personnel in a variety of academic fields, and other areas such as instructional methods and equipment, administrative skills, and student personnel services. Grants to the institution conducting the training covered all direct and indirect operating costs, and participant support.

Program Scope:

In FY 1974, no institutes were funded. In FY 1975, allocation of $1.57 million funded 57 institutes, accommodating about 2,500 persons. One-third of these institutes were for the improvement of the skills of business officers and student financial aid officers. No institutes were funded in FY 1976.

Program Effectiveness and Progress:

A past evaluation found that "the demand for skilled personnel was uniformly strong across different types of institutions and institutional decision-makers. The major training needs identified were not on research or instruction but on planning and interpersonal relations. These are areas that were at the core of many local EPDA V-E programs, especially the institutes." The report concluded that the Institutes' program emphasis on the training of administrators was precise in relation to the expressed need.

Ongoing and Planned Evaluation Studies:

None. No further reports on the program after this year are planned.

Sources of Evaluation Data:

Program files, Division of Training and Facilities, Bureau of Postsecondary Education.

Abt Associates, Cambridge, Massachusetts. A Study of the Education Professions Development Act Training Programs for Higher Education Personnel. February, 1973.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Legal Training for the Disadvantaged

Legislation:	**Expiration Date:**
HEA, 1965, Title IX, Part D, as amended Public Law 94-482.	September 30, 1979

Funding History:

Year	Authorization	Appropriation
1973	$1,000,000	$ 0
1974	1,000,000	750,000
1975	1,000,000	750,000
1976	1,000,000	750,000
1977	1,000,000	750,000
1978	1,000,000	1,000,000

Program Goals and Objectives:

One of the purposes of Title IX, D, Legal Training for the Disadvantaged, is to make grants to public and private agencies and institutions for the purpose of assisting persons from disadvantaged backgrounds, as determined by the Commissioner of Education, to undertake training in the legal profession. Administered by the Council on Legal Education Opportunity, the program was established for the purpose of bringing about a significant increase in the number of lawyers from minority and disadvantaged groups. The program, formerly funded by OEO, is now partially funded by DHEW. The FY 1974 appropriation was the first specifically for the program under OE direction.

Program Operations:

Funds are granted directly to the Council on Legal Educational Opportunity (CLEO) which makes the awards and administers the program. Prior to entering law school, recipients attend a six to eight week intensive summer pre-law preparation program. They are then supported for three years of legal training with a $1,000 fellowship annually. In addition, participating law schools waive the tuition and fees that would normally be charged to the students.

Program Scope:

In the 1976-77 Academic Year, OE funded 359 continuation fellowships and 200 new fellowships.

Section 966 of Title IX of Part D is directed only to potential law school students from the minority/disadvantaged population. While the exact number of this group is unknown, it is estimated that less than 3.0 percent of lawyers in the U.S. are minorities and that the percentage currently enrolled in law schools is disproportionately low in relation to their undergraduate participation. Holders of fellowships constitute less than ten percent of minorities/disadvantaged currently enrolled in law schools.

Program Effectiveness and Progress:

Since it began operation in 1968, the program has experienced a retention rate among its first year students of about 80%, a record which compares favorably with the rate of 77% of law students as a whole. Since the program's inception in 1968 through 1976, a total of 2,219 students have successfully completed the summer institute program. Of these, 2,013 have entered law school and 929 have already graduated. The later figure represents approximately 69 percent of the possible eligible numbers of graduates and compares favorably to the national norm. An additional 509 students have withdrawn from or failed in law school.

Ongoing and Planned Evaluation Studies:

The Education Amendments of 1976 require the evaluation of a number of HEA Title IX programs including Part D. OE is currently initiating a study in response to this requirement.

Sources of Evaluation Data:

American Council on Education, Higher Education Panel Report No. 19, Enrollment of Minority Graduate Students at Ph.D. Granting Institutions, August 1974.

National Association for Equal Opportunity in Higher Education, The National Goal of Equal Opportunity and the Historically Black Colleges, November 1975.

Program files, Division of Training and Facilities, Bureau of Postsecondary Education.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

College Personnel Development, Allen J. Ellender Fellowships

Legislation:	**Expiration Date:**
Education Amendments of 1972. Public Law 92-506, Sections 1-5.	June 30, 1981

Funding History:

Year	Authorization	Appropriation
1973	$500,000	$500,000
1974	500,000	500,000
1975	500,000	500,000
1976	500,000	500,000
1977	750,000	750,000
1978	750,000	750,000

Program Goals and Objectives:

P.L. 92-506 authorizes the Commissioner of Education to make grants to the Close Up Foundation of Washington, D. C. to assist in carrying out a program of increasing the understanding of the Federal Government among secondary school students, their teachers, and the communities they represent. Up to 1,500 fellowships are awarded each year to economically disadvantaged secondary school students and to secondary school teachers.

Program Operations:

Each year a number of cities are selected for the award of grants for Foundation projects. Participants selected are intended to be a socio-economic cross-section of the local population and include teachers as well as students. There is an attempt to package Ellender funds with grants from other foundations and corporations. Funds are used to support seminars and workshops at which political processes, issues, and awareness are explored.

Program Scope:

The Allen J. Ellender Fellowships Program (authorized under P.L. 92-506) makes grants to the Close Up Foundation of Washington, D. C., to help the foundation increase understanding of the Federal Government among high school students, their teachers, and other members of their community. Up to 1,500 "fellowships"--basically one-week field trips to Washington, D. C.--are awarded each year to economically disadvantaged secondary school students and to secondary school teachers.

The FY 1976 appropriation of $500,000 supported 1,392 fellowships (703 to teachers and 689 to students, representing 21 metropolitan and rural areas).

All of the appropriation was utilized for fellowship commitments and expenses. The fellowship appropriation generated an additional 8,820 student and teacher participants through a community multiplier effect. The average cost of a fellowship was $359.20.

Program Effectiveness and Progress:

Program impact on participants was evaluated for the Close-Up Foundation during 1975 by Social Education Associates. On four major measures of political knowledge and behavior, recipients of Ellender Fellowships increased their comparative scores by from 3 to 13 percent. Testimony by community leaders indicated broad support of the program concept.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

Close Up Foundation Report of December 30, 1975.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Veterans' Cost-of-Instruction Program

Legislation:	**Expiration Date:**
Section 420 of the Higher Education Act of 1965; as amended by Title X of the Education Amendments of 1972 (P.L. 92-318); as amended by P.L. 93-380; as amended by the Education Amendments of 1976 (P.L. 94-482).	September 30, 1979

Funding History: Year	Authorization	Appropriation
1973	Indefinite	$25,000,000
1974	"	23,750,000
1975	"	31,250,000 1/
1976	"	23,750,000
1977	"	23,750,000
1978		23,750,000

1/ Includes a supplemental appropriation of $7.5 million.

Program Goals and Objectives:

The Veterans' Cost-of-Instruction Program is intended to provide improved and expanded services to veterans attending institutions of higher education. These services include recruitment, counseling, special education programs, and outreach activities. Implicit within the design of the program is the objective of encouraging institutions of higher education to expand and maintain enrollments of veterans.

Program Operations:

Accredited institutions of postsecondary education, other than schools of divinity and proprietary institutions, may receive assistance under this program if the applicant satisfies eligibility criteria related to the enrollment of veterans. An applicant institution which did not participate in the program during the previous year must have a minimum of 25 undergraduate veteran students enrolled and may satisfy either one of two criteria. The first is that at least 10% of the total undergraduate enrollment be veterans and that the current proportion of the undergraduate enrollment which is veterans not be any less than that recorded for the previous academic year. In the event that this criterion is not met, the applicant must have a current undergraduate veteran student enrollment which is at least 10% higher than the number of undergraduate veterans enrolled during the previous academic year. An applicant which participated in the program during the previous academic year must have an undergraduate veteran student enrolled which is equal to at least either (1) the number of undergraduate veterans enrolled during the previous academic year or (2) the minimum number of veterans which was necessary for the applicant to establish eligibility during the preceding academic year, whichever is less. In FY 1976, substantial decreases occurred in the number of eligible veterans. While these decreases affected the size of the institutions' payments, they did not affect the institutions' eligibilities for entitlements to receive payments for program year 1976-77. In order to protect the eligibility for entitlement of the institution in program year 1977-78, the Education Amendments of 1976 authorized institutions to count veterans who in the prior year were counted but who, subsequent to the count, lost their entitlement to VA educational benefits.

Applicants which satisfy one of these eligibility criteria receive cost-of-instruction payments pursuant to two major stipulations. The first is that a minimum of 75% of the funds awarded to an institution must be used to establish a full-time Office of Veterans' Affairs, to employ at least one full-time staff member whose sole institutional responsibility is to veterans, and to provide adequate services. These services include (1) programs to prepare educationally disadvantaged veterans for postsecondary education, (2) active outreach, recruiting, and counseling activities through the use of other funds, such as those available under federally assisted work-study programs, and (3) an active tutorial assistance program, including dissemination of information regarding such program. The second stipulation is that any program funds not used for the above activities must be used solely to defray general academic/instructional expenses--such as instructional salaries, instructional equipment, media equipment, and library materials--and, thus, may be non-veteran related. Instructional expenses cannot exceed 25% of an institution's award. Several exceptions to these stipulations are accorded to small institutions (i.e., those enrolling less than 2,500 students and enrolling no more than 70 veterans). Small institutions are required only to provide recruitment and counseling services and to establish a full-time Office of Veterans' Affairs which may be staffed by part-time employees who together assume the responsibility of at least one full-time employee. In addition, small institutions also have the option of entering into a consortium agreement with other, comparable institutions provided that they are in close proximity and that the required services will be available to the veterans on the concerned campuses.

Program funds are disbursed to institutions in three payments. April 16, October 16 and February 16 of each year are referred to as "count dates." At those times, participating institutions are required to count the number of Categories I and II veterans enrolled at the institution. The latter two counts determine the level at which the institution may expend funds during the second (November-February) and third (March-June) award periods.

Determining the amount of the three payments to which a qualified institution is entitled requires the calculation of payment factors, i.e., that amount the institution is to receive for each eligible veteran. This is done by multiplying the total of all qualified applicant institutions' full-time equivalent Category I veterans by $300 and multiplying the total of all qualified applicant institutions' full-time equivalent Category II veterans by $150. The two figures are then added; the resultant figure is the total entitlement demand or that figure needed for every institution to receive the full payment for each Category I and II veteran. Finally a percentage figure, which is determined by comparing program appropriation with entitlement demand, is applied to $300 and $150 to obtain the payment factor for Category I and II veterans respectively. For FY 1973 through FY 1976, this procedure has been done once a year, based on the April 16 count date, and the payments factors derived at that time were used to determine the amount of the annual award and to adjust the award after the October and February count dates. Using a new award adjustment procedure, new payment factors will be calculated after the February count date for each of the three award periods.

An additional limitation on cost-of-instruction payments permits no institution to receive more than $135,000 in any one year. Since the program has not been fully funded, this legislative amendment was added during fiscal year 1975 to protect small institutions. To the extent that this limitation makes available funds which would otherwise be apportioned as enormous awards to large institutions, the monies are allotted in such a manner as to ensure that eligible institutions will receive uniform minimum awards of up to $9,000. Should funds still remain available after application of this procedure, they are further distributed to ensure receipt of uniform minimum awards above $9,000--subject to the provision that no institutional awards above $9,000 exceed a cost-of-instruction payment as calculated by the veteran computation procedures described above.

Program Scope:

Total demand for program funds, as calculated by the veteran enrollment computation procedures, amounted to $285,454,162.50--or approximately 8 times the size of the supplemented FY 1976 appropriation of $23,721,840. Award levels on a per veteran basis were determined through a pro rata reduction based on a full-time equivalency count of veteran enrollments within each of the two award level categories. Under this reduction procedure, the award level for veterans in the first category (i.e., current recipients of 1691 and 1696 funds) was $24.90 and the current level for veterans in the second category was $12.45--or about 8% of what the award levels would have been, if the program were fully funded.

Program Effectiveness and Progress:

In FY 1975, 1,364 institutions applied for program awards of which 108 did not receive assistance. Of these 108, 54 were ineligible since they enrolled fewer than 25 veterans; 9 were ineligible because the applications were from proprietary institutions; 11 were ineligible because the institution was not accredited; 3 withdrew their applications on the grounds that the cost-of-instruction payments would be insufficient to cover the required expenditures; one was ineligible because the institution was a Divinity school; and 33 were ineligible because they failed to meet the veteran enrollment growth factor. Thus, 1,237 institutions (of which 111 were initial applicants and 1,126 were renewal applicants) participated in the program in FY 1976, as compared with 1,206 institutions in FY 1975, 1,009 institutions in FY 1974, and 1,070 in FY 1973.

The distribution of awards for FY 1975 were as follows:

Award Ranges	Number of Institutions	Percentage
$ 3,463 (minimum)	174	14.07
$ 3,464 - $ 5,500	128	10.35
$ 5,501 - $ 9,000	191	15.44
$ 9,001 - $ 25,000	457	36.94
$ 25,001 - $ 50,000	117	14.31
$ 50,001 - $ 75,000	78	6.30
$ 75,001 - $100,000	24	1.94
$100,001 - $125,000	6	.48
$125,001 - $134,999	1	.08
$135,000 (maximum)	1	.08
Total Institutions	1,237	100%

Of the 1,237 institutions, 84 percent were public. In addition, 64 percent were two-year institutions and the remaining 36 percent were four-year colleges or universities.

The expenditures reported for program year 1973-74 were as follows:

Expenditures for OVA, 1973-74	VCIP Funds	Funds Contributed by Institutions
Personal Services	$13,717,557	$4,611,690
Employee Benefits	1,223,743	453,831
Workshops/Conferences	120,899	11,821
Travel (Outreach-Recruitment)	436,814	63,072
Equipment	575,093	64,887
Supplies	794,839	100,930
Other	1,441,297	571,585
Total	$18,310,242	$5,877,816

Ongoing and Planned Evaluation Studies:

A descriptive study of program operations, nature and scope of clients served, and program data collected, etc., is planned for FY 1977.

Sources of Evaluation Data:

Program Files, Division of Student Services and Veterans Programs, Bureau of Postsecondary Education.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Loans for Construction of Academic Facilities

Legislation:

P.L. 89-329, Title VII-C of the Higher Education Facilities Act of 1965; as amended by P.L. 92-318 (formerly Title III of the HEFA; P.L. 88-204); as amended by P.L. 94-482.

Expiration Date:

September 30, 1979 1/

Funding History:

Year	Authorization	Appropriation
1964	$120,000,000	$ 0
1965	120,000,000	169,250,000
1966	120,000,000	110,000,000
1967	200,000,000	200,000,000
1968	400,000,000	0
1969	400,000,000	100,000,000
1970	400,000,000	0
1971	400,000,000	0
1972	50,000,000	0
1973	100,000,000	0
1974	150,000,000	0
1975	200,000,000	0
1976	200,000,000	0
1977	200,000,000	0
1978	200,000,000	0

1/ P.L. 94-482, "Education Amendments of 1976", was passed in September 1976. It authorizes "Loans for Construction of Academic Facilities" through October 1, 1979 and expanded the scope of the program by authorizing loans for construction and renovation projects designed to:

(1) Economize on the use of energy.

(2) Bring facilities into conformance with the Architectural Barriers Act of 1968 (making facilities accessible to the handicapped).

(3) Bring facilities into conformance with health safety or environmental protection requirements mandated by Federal, State, or local law.

Program Goals and Objectives:

Loans for Construction of Academic Facilities is one of four programs which include also Annual Interest Grants, Grants for Construction of Undergraduate Academic Facilities, and Grants for the Construction of Graduate Facilities designed to help institutions of higher education meet a national shortage of facilities. The objective of this program has been to help reduce the financial burden on institutions of higher education by making available to them loans with low rates of interest.

Program Operations:

Loans have been awarded pursuant to the following stipulations: (1) that not less than 20 percent of the development cost of the facility be financed from non-Federal sources (this requirement may be waived for schools qualified as developing institutions under HEA Title III), (2) that applicants have been unable to secure the amount of such loan from other sources upon terms and conditions equally as favorable as the terms and conditions applicable to loans under this program, (3) that construction will be undertaken in an economical manner and that it not be of elaborate or extravagant design or materials, and (4) that, in the case of a project to construct an infirmary or other facility designed to provide primarily for outpatient care of students and institutional personnel, no financial assistance be provided such project under Title IV of the Housing Act of 1950.

Loans have been made available to institutions of higher education, to cooperative graduate center boards, or to higher education building agencies (i.e., State agencies empowered by the State to issue tax-exempt bonds on behalf of private institutions of higher education) for the purpose of constructing only academic facilities. Although the law allows for a repayment period of 50 years, loans have normally been made available for 30 years--with exceptions, under certain circumstances, permitting a maximum loan period of 40 years. Interest rates on these loans cannot exceed 3%, per annum. No more than 12.5% of the annual appropriations for this program have been permitted for the extension of loans in any one State.

Program Scope:

This program has not received any appropriations since Fiscal Year 1969, as it was anticipated that the same objectives would be accomplished under the Annual Interest Grants Program and with the use of private capital. Since Fiscal Year 1970, this program has been authorized to make new loans to the extent that funds became available through the termination (primarily through withdrawal) of prior-year loan commitments. During Fiscal Year 1975, the remaining funds released through cancellation of prior loans were approved for new loan commitments.

Since Fiscal Year 1972, program priorities have focused upon the extension of loan commitments to predominantly black colleges. In Fiscal Year 1975, six loan commitments totaling $2,317,000 and supporting construction estimated at $16,843,783 were approved--all to private, four-year colleges. Four of these approvals were loan increases to predominantly black colleges; the remaining two were new loan approvals to predominantly white institutions.

Program Effectiveness and Progress:

Since the inception of the Higher Education Facilities Act of 1963, the Federal Government has provided financial assistance for the construction or improvement of academic facilities throughout the 55 States and territories. During the period Fiscal Year 1965 through Fiscal Year 1975 almost $2.5 billion in direct Federal grants and loans were awarded. In addition, over $1.4 billion in commercial loans were approved for annual interest subsidy support involving an estimated annual commitment of Federal funds approximating $29 million. Over 1,800 institutions of higher education received financial assistance for the purpose of facilities construction and improvement and some 4,000 facilities costing in excess of $10 billion will have been constructed.

Findings of an USOE study report that the total stock of space in 1974 approximated 1,332,300,000 net assignable square feet. Roughly 25% of this total was constructed between academic years 1968-69 and 1973-74. In addition, construction which will be completed by 1976 will supplement this stock by an estimated 80,000,000 square feet. The study also found that nationally aggregated comparisons of space standards with the space available showed few shortages, both for those categories where very specific space standards have been established (i.e., classrooms, laboratories, and office space) as well as for special use, general use, and support space, while non-academic space shows some excess. Some shortages of space were observed in office space, study space, and laboratory facilities. When disaggregated, the data showed a tendency for some schools (particularly two-year private colleges) to be space-rich and for others (generally, public universities and public two-year colleges) to exhibit some shortages as a consequence of shifts in enrollment patterns. Other major findings noted (a) that neglecting of maintenance, which can increase the need for remodeling, was estimated to be common at approximately 20% of the public sector institutions and 40% of the private sector colleges and (b) that there was little evidence that the drying up of Federal funds has tended to affect college construction decisions.

In view of the large amount of construction over the last 10 years and the anticipated leveling off of higher education enrollments, it appears that the Federal assistance programs for construction of higher education facilities have generally accomplished their objective. While certain areas of the country may still face a shortage of academic space, these deficiencies are believed to be limited, and the existing conditions do not constitute a national problem.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

The Demand for Facilities in the Postsecondary Sector, 1975 to 1990, Joseph Froomkin, Inc., Washington, D. C.; August 15, 1974.

Program files, Division of Training and Facilities, Bureau of Postsecondary Education.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Ethnic Heritage Studies Program

Legislation:	**Expiration Date:**
Elementary and Secondary Education Act of 1965, Title IX, as amended (1972 and 1974).	September 30, 1978

Funding History:	Year	Authorization	Appropriation
	1974	$15,000,000	$2,375,000
	1975	15,000,000	1,800,000
	1976	15,000,000	1,800,000
	1977	15,000,000	2,300,000
	1978	15,000,000	2,300,000

Program Goals and Objectives:

This program provides opportunities for students to learn about their own cultural heritage and to study the cultural heritages of the other ethnic groups in the Nation.

Each program assisted under this title shall--

(1) develop curriculum materials for use in elementary or secondary schools or institutions of higher education relating to the history, geography, society, economy, literature, art, music, drama, language, and general culture of the group or groups with which the program is concerned, and the contributions of that ethnic group or groups to the American heritage; or

(2) disseminate curriculum materials to permit their use in elementary or secondary schools or institutions of higher education throughout the Nation; or

(3) provide training for persons using, or preparing to use, curriculum materials developed under this title; and

(4) cooperate with persons and organizations with a special interest in the ethnic group or groups with which the program is concerned to assist them in promoting, encouraging, developing, or producing programs or other activities which relate to the history, culture, or traditions of that ethnic group or groups.

Program Operations:

The program authorizes grants to public and private nonprofit educational agencies, institutions and organizations to assist them in planning, developing, and operating ethnic heritage studies programs.

Programs for ethnic heritage studies which are proposed must be planned and carried out in consultation with an advisory committee that is representative of the ethnic group or groups with which the program is concerned. Project activities include curriculum material development, teacher training, dissemination of materials and cooperation with ethnic groups in the community served by each project. Emphasis will be placed on multi-ethnic endeavors that draw upon the cultural pluralism of the community.

In carrying out this title, the Commissioner makes arrangements which utilize (1) the research facilities and personnel of institutions of higher education, (2) the special knowledge of ethnic groups in local communities and of foreign students pursuing their education in this country, (3) the expertise of teachers in elementary and secondary schools and institutions of higher education, and (4) the talents and experience of any other groups such as foundations, civic groups, and fraternal organizations which would further the goals of the programs.

Funds appropriated to carry out this title may be used to cover all or part of the cost of establishing and carrying out the programs, including the cost of research materials and resources, academic consultants, and the cost of training of staff for the purpose of carrying out the purposes of this title. Such funds may also be used to provide stipends (in such amounts as may be determined in accordance with regulations of the Commissioner) to individuals receiving training as part of such programs, including allowances for dependents.

In FY 1974, 42 projects were funded with an average award of $56,000. During FY 1975, 49 grants averaging $39,000 were made in support of programs in 32 States and the District of Columbia. During FY 1976, 49 grants averaging $37,000 were funded in 32 States, the District of Columbia and the Trust Territory of the Pacific Islands. In FY 1977, 48 maxi grants averaging $37,500 were funded in 36 States, District of Columbia, Virgin Islands, and Puerto Rico.

1977 Workload Data

Maxi

Total awards	$2,300,000

(1,800,000 for Maxi grants ($50,000 max.)
(500,000 for Mini grants ($15,000 max.)

Maxi grant total	$1,800,000
Average Project Cost	$37,500
Ethnic Groups Represented	
Single ethnic	22
Multi ethnic	26
Training Activities	$791,814
Number of projects	21
Average cost of training	$37,705
Average length of training	9 months

Curriculum Activities	$343,000
Number of single ethnic projects	6
Number of multi-ethnic projects	9
Average project cost	$22,867
Ethnic groups represented	13
Dissemination Activities	$187,761
Number of projects	5
Average project cost	$37,552
Ethnic groups represented	(at least 10 or more)

Mini

Total awards	$500,000
Average project cost	$15,000
Ethnic groups represented	
Single ethnic	11
Multi-ethnic	20
Training Activities	$382,759
Number of projects	20
Average cost of training	$19,100
Average length of training	9 months

Curriculum Activities	$119,530
Number of projects	9
Number of single ethnic projects	
Average cost of projects	$14,941
Dissemination Activities	$179,778
Number of projects	12
Average project cost	$14,982
Ethnic groups represented	8

Program Effectiveness and Progress:

Each project contains a self assessment in terms of constant review and professional criticism as well as feedback from teachers and students.

With more States mandated for the teaching of ethnic studies in the schools, there are indications of wider acceptances of ethnic programs particularly in the concentrated multi-ethnic areas of the country. California, Illinois and Michigan are requiring multicultural or ethnic heritage studies statewide.

The present program now has training as its first priority and the major portion of financial support is in this area. With the advent of training as a major consideration, the materials already developed under the Title IX Ethnic Heritage Studies program will receive wider dissemination and utilization.

Teachers in a great number of localities throughout the country are using materials which were produced from over 30 projects. Such programs as the following: (1) "Ethnic Education for Future and Present Public Administrators" at the State University at Binghamton; (2) "Appreciation of Ethnic Pluralism in Education for Social Work" at Catholic University; (3) "Program Development for Public Service Ethnic Affiliate Associations at the John Jay College of Criminal Justice, have added a new dimension in the study of ethnicity. Also, pre-school and childhood education have received more attention.

Experimental ethnic theater is used in the study of ethnicity for younger students with such programs as "Ethnic Theater: Springboard for a Multi-ethnic Curriculum", "Teacher Training Module for Implementing Multi-ethnic Social Studies in Elementary Schools", and "Curriculum Improvement and Teacher Training for Community Ethnic Language and Culture Schools."

Other users of Title IX EHS curricula materials include regional resource centers, State bicentennial commissions, State historical societies, education associations, libraries and museums, and theater groups.

Ongoing and Planned Evaluation Studies:

None.

Sources of Evaluation Data:

Program information and project reports.

Assessment of the First Year of the Ethnic Heritage Studies Program, a report prepared under a Title IX Elementary and Secondary Education Act Grant awarded by the Ethnic Heritage Studies Branch of the U.S. Office of Education to the National Education Association, 1976.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Domestic Mining and Mineral and
Mineral Fuel Conservation Fellowships

Legislation:

Part D of Title IX of the Education Act of 1965, as amended; 20 U.S.C. 1134 n-r.

Expiration Date:

October 1, 1979

Funding History:

Year	Authorization	Appropriation
1975	1/	$1,500,000
1976	1/	3,000,000
1977	1/	4,500,000
1978	1/	4,500,000

1/ "Such sums as necessary" are authorized to support fellowships not in excess of 500 new fellowships each year.

Program Goals and Objectives:

The purpose of this legislation is to assist, through fellowships, graduate students of exceptional ability for advanced study in domestic mining and mineral and mineral fuel conservation including oil, gas, coal, oil shale, and uranium. Such students must demonstrate financial need to qualify.

Program Operations:

Institutions of higher education apply once a year directly to the Office of Education. The applications are reviewed and rated by panels of academic experts chosen from outside the Office. Allocations of fellowships are then made to the successful applicants who, in turn, select and nominate to the Commissioner of Education the persons they recommend for these fellowships.

Fellowships are awardable for any level of pre-doctoral study. Tenure cannot exceed 36 months, except an additional 12 months may be awarded by the Commissioner under special circumstances.

In 1976-77 each fellow received a stipend of $250 a month and a dependency allowance of $25 a month for each dependent, up to five dependents. The institution received an educational allowance of 150 percent of what was paid to each fellow as stipend. Each fellow was also entitled to reimbursement for actual and necessary travel expenses from his ordinary place of residence to the institution and return to such residence.

In 1977-78 each fellow received a stipend up to $325 a month. There was no dependency or travel allowances. The institution received an educational allowance equal to the amount paid to the fellow.

Program Scope:

Fiscal Year Funds	Total No. of Fellows	No. of New Fellows	No. of Continuing Fellows	Average Cost of A Fellowship
1975	180	180	--	$8,000
1976	375	229	146	$8,000
1977	576	376	200	$7,800

Program Effectiveness and Progress:

Because the Program has been operating only two years, no evaluation has yet been made.

Ongoing and Planned Evaluation Studies:

The Division of Postsecondary Programs, Office of Planning in the U.S. Office of Education, is planning an evaluation of the program in 1977.

Sources of Evaluation Data:

Program files.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Postsecondary Education Eligibility
and Agency Evaluation

Legislation:	**Expiration Date:**
Accreditation: Education Amendments of 1952 (P.L. 82-550), subsequent Legislation.	N/A
Eligibility: Higher Education Act of 1965, as amended including P.L. 94-482.	

Funding History: N/A

Program Goals and Objectives:

The Division of Eligibility and Agency Evaluation (DEAE) and the U.S. Commissioner of Education's Advisory Committee on Accreditation and Institutional Eligibility (ACAIE) function to "orchestrate" a system of determining initial eligibility for postsecondary educational institutions to participate in various Federal student assistance programs.

Program Operations:

Initial eligibility is granted to postsecondary institutions and programs which meet certain statutory and other prerequisites: (a) State licensing or chartering, (b) accreditation by private non-governmental accrediting bodies or State agencies recognized by the U.S. Commissioner of Education; and (c) compliance with Federal non-discrimination guidelines. ACAIE/DEAE formulate and publish accrediting criteria for recognition which State/private accrediting bodies must comply for recognition. Only those State/private accrediting bodies with approved procedures and jurisdictions may qualify in the sense that their "accreditation" functions as an aspect of institutional eligibility for Federal funds. ACAIE/DEAE conduct periodic reviews of the accrediting bodies' policies related to the U.S. Office of Education's published criteria for the purpose of renewal of recognition.

Program Scope:

As of FY 1977, ACAIE/DEAE have through the "tripartite" institutional eligibility process--private accrediting associations, State approval and licensing agencies, and the Federal government:

(a) recognized 69 private accrediting associations;
(b) recognized 12 State approval agencies; and
(c) certified for Federal eligibility 8,600 postsecondary institutions.

Program Effectiveness and Progress:

In June 1972, the Office of Education contracted with the Brookings Institution, and later with the National Academy of Public Administration, to conduct a study in the use of accreditation for eligibility purposes.

Completed in 1974, "Private Accreditation and Public Eligibility Study" by Dr. Harold Orlans, et al., recommended, among other findings, that:

(1) The Office of Education institute a program to improve the training of State education staffs to gain their cooperation in enforcing Federal eligibility conditions, and to promote a fuller and more prompt exchange of information about postsecondary schools;

(2) Federally guaranteed student loan borrowers be protected in the event of school closure;

(3) Colleges as well as proprietary schools be required to notify students about their tuition refund policy; and,

(4) Information about changes in the eligibility of postsecondary schools for Federal and State programs, FTC cease and desist orders, restrictions imposed by the courts or State officials and accrediting agency actions be more promptly and widely circulated.

Moreover, the report strongly recommended that a study be made to ascertain the number, proportion, and kinds of degree-granting and non-degree granting schools which engage in specified malpractices such as deceptive advertising and recruiting, and inequitable refunds. Additionally, the "Private Accreditation and Public Eligibility Study" played a significant role in assisting the BPE/DEAE to successfully have Congress include new statutory program eligibility language in the Education Amendments of 1976.

Subsequently, in July 1975, the Office of Education contracted with the American Institutes for Research (AIR) to develop and field test a degree and non-degree granting institutional informational system which would provide accurate and timely information on their student consumer practices.

The initial phase of the study "Improving the Consumer Protection Function in Postsecondary Education" has been completed. In part, the report states that:

(a) The categories, examples, and indicators of potentially abusive institutional conditions and practices produced by this project should be brought to the attention of the chief administrative officer of every institution which gains eligibility to participate in Federal student assistance programs.

(b) The information dissemination called for above should be followed by an assessment of the information's impact on institutional self-study and self-improvement.

(c) An information system should be established for sharing and disseminating State-agency produced Institutional Report Forms (IRF) scores for institutions which operate across State lines.

(d) USOE-recognized accreditation agencies should continue to urge an increased awareness of student consumer protection on their member institutions as an integral part of the accreditation process.

(e) The "continuous review (of) the criteria for determination of, or termination of, eligibility for institutional participation in USOE administered financial aid programs, and. . .appropriate recommendations for change" recently recommended by USOE's Task Force on Implementing Educational Consumer Protection Strategies should include consideration of minimum consumer protection standards based upon preventing the types of abuses listed in the report.

Additionally, the study developed a student guide entitled Safeguarding Your Education: A Student's Guide to College and Occupational Education, which was based upon the 14 different types of consumer abuses, is now being commercially produced under copyright for national dissemination.

Ongoing and Planned Evaluation Studies:

A study is now underway to accurately appraise the current status of State authorization and oversight, especially as these functions provide eligibility to participate in Federal assistance programs. The study will involve a comprehensive mail/telephone survey of all 50 States to gather documents (laws, regulations, policies) and other data on institutional monitoring and enforcement mechanisms.

Additionally, a study is being designed to evaluate the USOE Criteria and Procedures for the Recognition of Accrediting and State Approval Agencies. The study will focus on the history of the recognition process and on assessment of the validity and reliability of the USOE criteria used for all agencies applying for recognition by the U.S. Commissioner of Education.

Sources of Evaluation Data:

Program files, Bureau of Postsecondary Education/DEAE

Orlans, Harold, et al., Private Accreditation and Public Eligibility, Volumes I and II, The Brookings Institution and the National Academy of Public Administration Foundation, Washington, D. C., 1974.

Jung, Steven M. et al., Improving the Consumer Protection Function in Postsecondary Education, American Institutes for Research, Palo Alto, California, December 1976.

Interim reports.

The Review of State Oversight in Postsecondary Education, American Institutes for Research, Palo Alto, California, June 1977.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Education for the Public Service

Legislation: — **Expiration Date:**

P.L. 89-329 Higher Education Act of 1965 (as amended by P.L. 92-318), Title IX, Part A and Part C. — October 1, 1979

Funding History:

Year	Authorization 1/	Appropriation
1973	$30,000,000	--
1974	40,000,000	--
1975	50,000,000	$4,000,000
1976	50,000,000	4,000,000
1977	50,000,000	4,000,000
1978	50,000,000	4,000,000

1/ In addition to these authorizations for Part A, the Commissioner is authorized to appropriate such sums as may be necessary for 500 fellowships.

Program Goals and Objectives:

The overall goal of this program is to expand and improve the training of persons for the public service. There are two parts to the program. The objective of Part A, which authorizes grants to institutions of higher education, is to establish, strengthen and improve programs for graduate or professional students who plan to pursue a career in the public service. The goal of Part C, which authorizes the award of fellowships for graduate and professional students who plan to pursue a career in the public service, is to assist qualified students in obtaining advanced training for such careers.

Program Operations:

Public service awards are made on a competitive basis. Applications are sent to all four-year colleges and universities inviting them to apply for institutional and/or fellowship grants. Institutions receiving fellowship grants agree to recommend to the Commissioner students of superior promise who plan to enter public service.

College graduates apply for fellowships by applying to institutions which have been awarded fellowship grants. Each fellow's stipend is $3,000 plus $504 for each dependent. In addition, an educational allowance of $3,000 per year is provided the institution for each fellow enrolled in the program. Now fellowships are awarded for full-time study only for a minimum of 9 up to a maximum of 36 months.

No set amounts are authorized for institutional grants. Grants may be used for improving faculty, expanding public service programs for graduate study, strengthening administrative operations, carrying out cooperative arrangements with other graduate or professional schools, and purchasing or renting educational materials.

Program Scope:

The first grants were awarded in fiscal year 1975. That year, institutional grants totalling $2.3 million went to 58 institutions. Fellowship grants totalling $1.7 million went to 52 institutions, which awarded them to 263 fellows.

In fiscal year 1976, institutional grants totalling $2 million went to 80 colleges and fellowship grants totalling $2 million went to 73 colleges and benefitted 344 fellows.

Program Effectiveness and Progress:

Most institutions report the majority of fellows are making satisfactory progress. However, since this program is so new and most public service Master's degree programs exceed a year, only fragmentary data are available on a few graduates.

Reports on use of institutional grants indicate some hiring of professional staff has taken place as well as progress in other approved activities.

Ongoing and Planned Evaluation Studies:

HEA Amendments of 1976 have mandated a report on and evaluation of the graduate fellowship programs. OPBE is working with the program staff with whom it will jointly sponsor a modest evaluation effort.

Sources of Evaluation Data:

Program files, Division of Training and Facilities.

H. Evaluation of Education Programs for the Handicapped

The several programs authorized under the Education of the Handicapped Act have had one or more of four basic purposes: (a) provision of direct services, (b) development and demonstration of new technologies, teaching methods, and materials, (c) training special educational personnel, and (d) program evaluation. In each of the programs, the role of the Federal government has been a stimulative one, whereby "seed" money is provided to States and other grantees, in order to stimulate increases in both the quantity and quality of services provided and to provide services for previously unserved handicapped children. The strategy for evaluating programs for the handicapped has been designed to determine if the programs have accomplished their specific purposes and, more generally, have had the desired stimulative effect. Accordingly, evaluation studies have been of two kinds: (a) those designed to obtain objective data on the impact and effectiveness of specified programs, particularly those which represented a major Federal investment of funds, and (b) those designed to provide policy relevant, planning information to enable the Federal government to target its resources more effectively.

Studies of the first type have, in general, demonstrated that these programs have accomplished their specific purposes. Efforts to isolate the stimulative effect and to demonstrate a causal relationship attributable to Federal programs have been complicated by forces outside the span of control of Federal evaluators and program managers. Examples of these forces range from effective lobbying by parents and professional groups with special interests in education of the handicapped to court cases which have demonstrated that handicapped children have not had equal access to educational opportunities. Because of these events, an increase in resources for handicapped children has led to a corresponding gradual increase in the number of handicapped children receiving services. As noted above, the degree to which Federal programs have contributed to this increase has not been determined. Furthermore, it appears that further attempts to demonstrate this effect may be fruitless because recent legislation has resulted in a significant redefinition of the Federal role in education of the handicapped.

The Education of All Handicapped Children Act of 1975, P.L. 94-142 amends EHA, Part B in the following ways:

- It explicitly states that Federal policy is to assure access to free, appropriate, public education for all handicapped children by the States
- It specifies that the unserved have first priority and that the most severely handicapped within each disability category who are not receiving an adequate education have second priority for services relative to all handicapped children

- It indicates that handicapped children should be served in the least restrictive environment consistent with their needs and abilities

- It specifies that each child shall have the benefit of an individualized educational program which will be updated at least annually.

This redefinition of the Federal role has a number of implications for future evaluation studies of handicapped programs. In general, the following represents some future evaluation considerations:

- The emphasis of equal access in the 1975 Act requires that the primary index of impact be the progress made by States in providing educational services to all handicapped children

- Studies of handicapped programs, other than Part B, should have the primary goal of determining to what degree each program contributes to the newly defined Federal role. That is, the new Part B program has objectives of truly major scope; in order to meet these objectives, most other Federal education programs for the handicapped will have to be measured in terms of the degree to which each contributes to the accomplishment of Part B objectives

- The new program places a heavy responsibility on State education agencies (SEAs) intermediate education Units (IEUs), and local education agencies (LEAs), for coordinating resources and service delivery systems. The evaluation strategy will have to include assessment of the effort of these agencies to accomplish the legislative objectives

- The activities which Federal program managers will control are primarily those of:

  (1) insuring that the States comply with the requirements of the legislation, and

  (2) providing technical assistance to the various agencies, especially SEAs, which have the primary responsibility for delivery of services.

  As part of the Commissioner's responsibility to assess and assure the effectiveness of the implementation of the Act, compliance and technical assistance activities by Federal managers will be a major focus of future evaluation studies;

- A new dimension will be added to the evaluation strategy in that the Federal evaluators also need to provide technical assistance to the States so that the States can evaluate their own efforts and those of the IEUs and LEAs; and

- Finally, studies of the effectiveness of State and local fiscal decision-making will assume a greater prominence in the evaluation strategy. That is, the States which are most successful in achieving the legislative objectives will be those which allocate State resources and coordinate and influence the allocation of local resources to achieve maximum coverage of children.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Aid to States for Education of Handicapped Children in State-Operated and State-Supported Schools

Legislation:

ESEA Title I, Section 121
(P.L. 89-313): as amended by
P.L. 93-380, Section 101 (a) (2) (E)

Expiration Date:

September 30, 1977

FUNDING HISTORY	YEAR	AUTHORIZATION 1/	APPROPRIATION
	1966		$ 15,900,000
	1967		15,100,000
	1968		24,700,000
	1969		29,700,000
	1970		37,500,000
	1971		46,100,000
	1972		56,400,000
	1973		75,962,098
	1974		85,777,779
	1975		87,500,000
	1976		95,869,000
	1977		111,400,000
	1978		121,600,000

Program Goals and Objectives:

According to the legislation, this program was designed to provide Federal assistance to State agencies which are directly responsible for providing free public education for the handicapped children. Handicapping conditions include mental retardation, hard of hearing, deaf, speech imparied, visually impaired, seriously emotionally distrubed, crippled, or other health impairements requiring special education. State agencies are authorized to use the Federal assistance only for programs and projects which are designed to meet the special educational needs of these handicapped children. Acquisition of equipment and construction of school facilities may be included in these projects. Assurances must be given that each child will be provided with programs to meet his special educational needs. The primary emphasis of this program is to fund institutions: (1) which provide full-year residential programs to those children requiring this service, (2) which

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1/ The authorization level under this legislation is determined by formula and taken from the total Title I appropriation prior to any other allocation of Title I funds. See text for definition of the formula.

provide special itinerant services on a part-day basis for children who are enrolled in regular day school but require special, additional assistance, and (3) for children confined to their homes because of the severity of their handicap.

Program Operations:

Federal funds under this program are advance funded; i.e., funds appropriated in a given fiscal year are obligated for expenditure in the succeeding fiscal year, and determined by a formula. This formula is based upon the number of eligible handicapped children counted in average daily attendance (ADA), in an elementary or secondary program operated or supported by a State agency, multiplied by 40 percent of the State per pupil expenditure (or no less than 80 percent or more than 120 percent of the National Per Pupil expenditure). Beginning in 1974 with the passage of P.L. 93-380, those children who were counted in average daily attendance in a State agency but returned to an appropriate special education program in an LEA were eligible to participate in P.L. 89-313 programs. The eligibility criteria for LEA participation are: (1) previously reported in the ADA of a state agency; (2) child enrolled in an appropriately designed special education program in the LEA; and (3) the State agency transfers to the LEA the amount of money attributable to such children.

At the Federal level, management responsibility for this program is vested in the Office of Education, Bureau of Education for the Handicapped (BEH). Allocations under the program, as determined by BEH, are issued to State agencies. Applications for the project funds are then submitted by participating institutions to their supervising State agency. The agency reviews the applications, and forwards those which it approves to the State education agency (SEA) for final approval and the release of funds. The participating institution is required to submit end-of-year reports to its State agency to account for the expenditure of funds and to provide an evaluation of project activities.

Program Scope:

In FY 77 approximately $111 million were allocated to 50 States, the District of Columbia, Puerto Rico and Guam.

The funds allocated were administered by 143 State agencies which supervised project participation at about 3,830 State schools, 599 local educational agencies and local schools. The average daily attendance reported by these institutions was 201,430 children for the school year 1976-77. Those children benefiting under the program are distributed across the following handicap categories approximately as follows: Mentally Retarded - 188,904; Deaf and Hard of Hearing - 26,441; Emotionally Disturbed - 25,315; Crippled and Other Health Impaired - 21,246; Visually Handicapped - 9,524. The average per pupil expenditure is $553.

September 77 program documentation indicates that FY 78 programs funds will be administered by 144 State agencies which will supervise activities of 3,794 State schools and 3,124 local educational agencies and local schools. The funds appropriated in this fiscal year, for use in school year 1977-1978, should provide services to approximately 223,000 children. The projected average cost per child served should be $543, a slight decrease over the previous year.

Program Effectiveness and Progress:

An exploratory study, completed by Abt Associates, Inc., May 1977, surveyed 100 providers of services to severely handicapped children and youth. Providers were assessed to determine the type, kind, and quality of services delivered to the 8,615 severely handicapped served by these providers.

This study found that the basic predictive variables were: (a) type of provider, (b) size of the severely handicapped population served by individual providers, and (c) clients' handicapping condition. Abt Associates, Inc., concluded the following about the providers surveyed:

Provider Type:

Providers were classified as offering residential programs, day care programs, or a combination of both. Providers were characteristically different from each other and are not compatible for analytical or predictive purposes. Services rendered, and the corresponding cost and quality of services provided (by provider type) to the severely handicapped were extremely different. Among residential facilities: 90 percent provided educational and rehabilitative services, had an average waiting period between client's application and his/her admission of 7.7 months, accepted 61 percent of the applicants, and retained clients for a longer time period than did mixed or day facilities. Though residential providers released more clients annually than did day providers, a greater number of their discharged clients continued to receive educational services in a non-school setting. By contrast, day facilities always offered a wider variety of services, performed formal evaluations,tended to have greater parental involvement, and had an average waiting period of slightly more than 3 months. Provider characteristics were influenced by the size and the type of the handicapped population served by the providers.

Size:

Larger providers generally offered a wider variety of services, performed formal evalutions, and tended to have greater parental involvement than found among providers serving only a small number of severely handicapped children and youth.

Type of Handicapping Condition of Clients:

There were pronounced differences in the providers who served primarily the mentally retarded, the deaf-blind or the emotionally disturbed. Provider serving the above conditions differed by quality of services delivered, staff-client ration, type and qualifications of personnel and an array of other variables.

Quality of Care:

Several generalizations about the quality of client care provided can be made. Overall findings indicate that:

- Day providers were of high quality than residential or mixed providers.
- Larger providers were of higher quality than smaller providers, with the optional number of clients being 51-200.
- Providers serving primarily emotionally disturbed clients were of higher quality than all other providers.
- Public and private providers were virtually identical in quality.

General Findings:

All providers received approximately 80 percent of their funds from public funding (i.e., State, Federal and local governments as well as welfare programs). Parents' payments supported very little of the total providers' expenditures. Expenditures varied from 1 percent for day care facilities to 8 percent for residential facilities. Residential and mixed facilities were mainly supported by State funds; whereas, day providers had about equal funds from State and local sources. All 3 types of providers received about 15% of their funds from federal programs. In general, 75 percent of provider expenditures went for personnel costs. Residential providers spent nearly twice as much as day providers on personnel costs associated with rendering educational/habilitative services.

Reallocation of expenditures was not found to contribute to a noticeable increase in the quality of care provided by a facility serving the severely handicapped.

This study, designed as an exploratory endeavor, demonstrated the critical need for more detailed information and for reliable data for future evaluations. Additional evaluations on the severely handicapped population should be conducted before making major policy decisions regarding P.L. 89-313.

Ongoing and Planned Evaluation Studies:

A BEH study to evaluate this program was awarded to Rehab Group Inc., September 1977.

Source of Evaluation Data:

1. Bureau of the Education of the Handicapped program information.

2. "An Assessment of Selected Resources for Severely Handicapped Children and Youth," Abt Associates, Cambridge, Massachusetts, April 1977.

EVALUATION PROJECT SUMMARY

Program Name:

State Grant Program

Legislation:

P.L. 91-230, Title VI, Part B, as amended by P.L. 94-380, Sections 612, 613, 614, and 615 as amended by P.L. 94-142, Part B. Assistance to States for Education of Handicapped Children

Expiration Date:

Indefinite

FUNDING HISTORY

YEAR	AUTHORIZATION	APPROPRIATION
1967	$ 51,500,000	$ 2,500,000
1968	154,500,000	15,000,000
1969	167,375,000	29,250,000
1970	206,000,000	29,190,000
1971	200,000,000	34,000,000
1972	216,300,000	37,500,000
1973	226,600,000	50,000,000
1974	226,600,000	47,500,000
1975	1/	200,000,000 2/
1976	1/	200,000,000 3/
1977	4/	315,000,000
1978	4/	480,000,000

1/ Includes $90 million in a second supplemental appropriation bill. Formula from P.L. 93-380: Allocation to States on the basis of the number of children in each State aged 3-21 multiplied by $8.75 ratably reduced, with a minimum $300,000 grant.

2/ Double appropriation changing program to advance funding mode.

3/ Includes 30 million from second supplemental appropriations Act (P.L. 94-303).

4/ Such sums as become necessary.

Program Goals and Objectives:

According to the statute, the primary goal of this program is to provide full educational opportunities to all handicapped youth. Through grants to States, the program design is to assist in the initiation, expansion and improvement of programs and projects for the handicapped (ages 3-21 years of age) at the preschool, elementary and secondary levels. The grants are intended to increase the quality and quantity of programs for handicapped children. Federal and local resources are used in order to insure that all handicapped children receive a free, appropriate public education designed to meet the child's unique educational needs; and further, to guarantee that each child is educated in the least restrictive environment in accordance with his/her special needs.

Program Operations:

Prior to FY 77, non matching grants were made to States and outlying areas. The program was advance funded; i.e., funds appropriated in a given fiscal year were obligated for expenditure in the succeeding fiscal year. Funds were allocated to States on the basis of the number of children in each State 3-21 years of age multiplied by $8.75, ratably reduced with a minimum $300,000 grant.

Beginning in FY 78 (September 1, 1978) the Education of All Handicapped Children Act, P.L. 94-142, required all States to provide a free appropriate education to all handicapped children 3-18 years of age (providing that this age range corresponds with State law). Any State requesting a grant is required to submit to the Commissioner, through its State Educational Agency, a State plan. State plans are required to demonstrate: (1) the policies and procedures used to implement the program objectives; (2) demonstrate the manner in which the administration of the plan is to be conducted; (3) provide assurance that the control and administration of funds is performed by a public agency; and, (4) assure that every attempt will be made to identify and serve all children with handicapping conditions. The Education of All Handicapped Children Act, P.L. 94-142, provides a new State distribution formula. This program is still advance funded but the formula determines the maximum funding level each State is entitled to receive. By formula, maximum funding is equal to the number of handicapped children aged 3-21 receiving special education and related services multiplied by a percentage of the national average per pupil expenditure. The percentage increases yearly, up to a maximum of 40 percent in 1982. This formula will result in the following estimated authorizations.

Fiscal Year of Use	Percent of Per Pupil Expenditures	Estimated Full Funding
1978	5	$ .387 billion
1979	10	.775 billion
1980	20	1.320 billion
1981	30	2.320 billion
1982	40	3.160 billion

In determinig the amount of funds to be allocated to each State:

- No more than 12 percent of the number of all children in the State, ages 5-17, may be counted as handicapped
- Up to one-sixth of the 12 percent counted may be identified as having specific learning disabilities
- 5 percent of the total funds received or $200,000 (whichever is greater) may be used by States for administrative costs
- In FY 78, 50 percent of Part B funds will "flow-through" States to LEA's and intermediate educational units if they meet legislative requirements and priorities and are able to qualify for an allocation of at least $7,500
- Part B funds that are retained by the State and are not used for administrative purposes must be matched on a program by programs basis by the State from non-Federal sources.

Other requirements of P.L. 94-142 are that States provide an education to all handicapped children that is:

- Appropriate and indivdualized
- Available to all children 3-18 by September 1, 1978
- Expands to include all children 3-21 years of age by September 1, 1980.

The intent of P.L. 94-142 is to assist the States to defray the excess costs of educating the handicapped. Excess costs are defined as those in excess of the amount normally spent on regular educational programs in the States.

Program Scope:

In FY 77, State grant program monies helped States develop strategies to implement P.L. 94-142 requirements. Additionally, emphasis was placed upon the full implementation of child identification programs, including but not limited to, diagnostic and placement services.

Fifty-seven noncompetitive continuation awards for State grant programs were funded in FY 77. An estimated 3,500,000 children were identified as handicapped using the eligibility criteria specified in the statute. This number represents children who are currently receiving needed special educational and related services. National estimates suggest that approximately 65 percent of school aged handicapped children are receiving special educational and related services; however, in some states less than 50 percent of the handicapped children are receiving any special education. Indirect services supported by this grant money include: 1) child diagnostic and evaluation services; and 2) program administration and teacher training. Direct services supported by this program refer to services provided to a handicapped child for one full day or more. Program information indicates that a significantly large portion of the program funds will be spent on direct service activities. The projected distribution for direct services by handicapping condition is as follows:

Service Categories	Percent of Total Funds
Trainable mentally retarded	14
Educable mentally retarded	35
Learning disabled	7
Emotionally disturbed	9
Other health impaired	3
Physically impaired	3
Visually impaired	3
Deaf	4
Hearing impaired	4
Speech impaired	18

Program Effectiveness and Progress:

A formal evaluation of the State grant program conducted by Exotech Systems, Inc. in 1972 examined the impact of this program at the State and local level. To obtain impact data at the LEA level both grantee and nongrantee special education projects were evaluated. The primary goal for these funds was for them to be used as seed money for increasing the level of State and local support for the education of the handicapped. The study concluded that the failure of EHA-B to produce this intended multiplier effect could be attributed to the fact that EHA-B is a nonmatching, nondecreasing Federal program without a predetermined expiration date. Additionally, EHA-B projects experienced an inability to obtain State or local funds for special education. The lack of such funds precipitated service cutbacks. The study also concluded that the secondary program goal of initiating, expanding, and replication of programs for handicapped children was partially achieved.

EHA-B funds assisted SEAs in program planning and coordinating activities among school districts. The funds also allowed most States to increase the level of financial support to special education programs. The study indicated that State strategies were generally not consistent with BEH guidelines concerning the use of EHA-B funds for innovative programs, however, they were not in conflict with the legislative intent to initiate, expand or improve programs to meet the special education and related needs of handicapped children. Innovation, replication, and evaluation is not considered a priority among SEA personnel.

The grantee LEAs varied significantly in terms of the nature and scope of services provided the handicapped. School districts in large metropolitan areas expanded special education and related services for the handicapped and received the largest share of the Federal revenue.

In rural or remote LEAs, EHA-B funds assisted in establishing programs to diagnose and service the previously unserved and the low prevalence handicapping conditions as well as to increase community awareness of the special needs of the handicapped. Programs established for the first time in a geogrpahical area were not innovative or replicative of established projects.

The outstanding difference between grantee and nongrantee special education projects was the amount of Federal, State and local support each received. Nongrantee programs received a significantly higher share of State and local funds than did grantee projects.

Another problem identified by the study is that the EHA-B per capita formula did not take into account the marked differences among State and local governments in their ability to pay for programs for handicapped children. The formula did not correct the existing situation whereby a handicapped person's chance of receiving appropriate service depends largely on the geographical area of residence.

It is the opinion of the Office of Planning, Budgeting and Evaluation that the new formula grant as specified in P.L. 94-142 does not build into it sufficient safeguards to overcome the shortcomings of those in 93-380, EHA-B.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

1. Bureau of the Education of the Handicapped program information.
2. Evaluation of an Aid-to-States Program for Education of Handicapped Children, by Exotech Systems, Inc., 1972.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Regional Resource Centers

Legislation:	**Expiration Date:**
P.L. 91-230, Title VI, Part C- Centers and Services to Meet Special Needs of the Handicapped, Sec. 621	September 30, 1982

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1966		
	1967		
	1968		
	1969	$ 7,750,000	$ 5,000,000
	1970	10,000,000	3,000,000
	1971 1/		3,500,000
	1972 1/		3,500,000
	1973 1/		7,243,000
	1974 1/		7,243,000
	1975	12,500,000	7,087,000
	1976 3/	18,000,000	10,000,000 4/
	1977	19,000,000 2/	9,750,000
	1978 5/	19,000,000	9,750,000

1/ Totals of $36,500,000 in 1971, $51,500,000 in 1972, and $66,500,000 in 1973 were authorized for Part C, EHA, which includes early childhood projects, regional resource centers, and deaf-blind centers. The 1973 authorization was extended through 1974 by virtue of the one-year extension contained in GEPA.

2/ Total authorized for section 621 is $19,000,000; other funds requested under section 621 are $3,250,000 for severely handicapped projects.

3/ Contracts were awarded to 8 regional resource centers for developing 16 direction service programs.

4/ In April 1975 litigation was settled which resulted in the release of $12,500,000 appropriated under the 1973 continuing resolution; of these funds, $3,131,652 were used for Regional Resource Centers, increasing obligations over the 1976 appropriation by that amount.

5/ Section 621, Part C, EHA was extended through 1982. BEH believes that by 1982 the regional center's program activities will be replaced by P.L. 94-142 funds.

Program Goals and Objectives:

As indicated in budget documents, the Regional Resource Centers Program was established in order to encourage the development and application of exemplary appraisal and educational programming practices for handicapped children. The centers are given the responsibility of developing a national support system in order that State and local agencies can provide needed diagnostic and prescriptive services without the assistance of the Regional Centers. To accomplish the goals and objectives of this program, the Centers use demonstration, dissemination, training, financial assistance, staff expertise, and consulation. The Centers also act as backup agents where State and local agencies have inadequate or nonexistent service programs. Among major activities of the Centers are:

- Identification of unserved handicapped children.
- Measurement and diagnosis of handicapped children for the purpose of proper educational placement.
- Development of educational and vocational programs for handicapped children.
- Provision of technical assistance to relevant personnel, including teachers and parents, in implementing appropriate services for the handicapped learner.
- Periodic re examination, re prescription or case-tracking to validate appropriateness of program placement for children.

Beginning in FY 76, eight Regional Resource Centers operated 16 Direction Service Program Centers. These centers encourage LEA's to adopt programs of comprehensive referral services through the operation of models which:

- Provide a one-stop information system
- Attempt to develop multidisciplinary approaches to integrate services
- Require parent participation
- Stress follow-up, periodic reassessment, and program service evaluation
- Match child's needs to available services

Program Operations:

In order to meet the program goals and objectives, grants and contracts are awarded to institutions of higher education, State educational agencies, or combinations of such agencies or institutions. Within particular regions of the United States, grants or contracts may be awarded to one or more local educational agencies. Projects are approved for periods of 33 months. However awards are made annually, and renewed on the basis of a Center's effectiveness and the availability of funds. Initial awards are made on a competitive basis. The awards are made to pay for all or part of the costs of the establishment and operations of the Regional Centers.

Program Scope:

The funds allotted to individual Regional Resource Centers ranged from $294,366 to $899,650 with the total funding for all Centers equaling $10,000,000 in FY 1976. There were 13 Regional Resource Centers and a Coordinating Office. The Coordinating Office provides technical assistance to the Regional Centers. Of the 13 Centers, 7 are multi-State and the remaining 6 are single State. Multi-State centers serve from 4 to 10 States. Population density is the prime criterion for determining regional locations.

Program Effectiveness:

The primary limitations on meeting the stated objectives of this program are: (1) the unavailability of best practices in utilizing validated diagnostic procedures, (2) insufficient funds available to State and local educational agencies to develop and implement effective diagnostic, assessment, evaluation and re-evaluation programs, and (3) trained diagnosticians and diagnostic teams available in sufficient numbers or with sufficient resources to fully implement the requirements of P.L. 93-380.

Program Information estimates that FY 77 funds will be distributed by program efforts in the following manner:

Activity	Estimated Expenditure
State program development	$ 5,265,000
Educational appriasal	1,365,000
Educational programming	1,852,500
Sharing resources	292,500
Project administration	975,000

In addition, assistance was provided to 57 State educational agencies in the development of the comprehensive State plans required under Part B of EHA with special attention given to case finding and identification systems.

Ongoing and Planning Evaluation Studies:

An evaluation of this program is expected to be initiated in FY 78.

Source of Evaluation Data:

Bureau of the Education for the Handicapped programmatic data.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Deaf Blind Centers

Legislation:	Expiration Date:
P.L. 91-230, Title VI, Part C Centers and Services to Meet Special Needs of the Handicapped, Section 622	September 30, 1982

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1968		
	1969	$ 3,000,000	$ 1,000,000
	1970	7,000,000	4,000,000
	1971 1/		4,500,000
	1972 1/		7,500,000
	1973 1/		10,000,000
	1974 1/		14,055,000
	1975	15,000,000	12,000,000
	1976	20,000,000	16,000,000
	1977	20,000,000	16,000,000
	1978	22,000,000	16,000,000

Program Goals and Objectives:

According to the statue, the purpose of this program is to provide, through a limited number of model centers for deaf-blind children, a program designed to assist these children in reaching their full potential for communication, to enable such children to participate in society, and to reach self fulfillment. This is accomplished by working with these children as early in life as feasible, bringing to bear those specialized, intensive professional and allied services, methods and aids that are found to be effective for this purpose.

Program Operation:

Grants or contracts are made with public or nonprofit private agencies, organizations, or institutions to pay for all or part of the cost of establishing residential facilities and for the operation of centers for deaf-blind children. The determination whether or not to make a

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1/ Totals of $36,500,000 in 1971, $51,500,000 in 1972, and $66,500,000 in 1973 were authorized for Part C. EHA, which includes early childhood projects, regional resource centers, and deaf-blind centers. The 1973 authorization was extended through 1974 by virtue of the one-year extension contained in GEPA.

grant or contract for this purpose is based on the availability of existing services and the assurance that a center can provide:

- Comprehensive diagnostic and evaluative services for deaf-blind children
- A program for the adjustment, orientation, and education of deaf-blind children which integrates all the professional and allied services necessary for these children
- Effective consultative services to parents, teachers, and others who play a role in the education of these children.

These services may be provided to deaf-blind children (and where applicable, to other persons) whether or not they reside in the center, may take place at locations other than the center, and may include transportation of children, attendants, and/or parents.

Program Scope:

It has been estimated that approximately 50 percent of the funding for deaf-blind programs come from State and local government. In FY 77 there were 10 regional centers serving deaf-blind children. In order to reach the widely dispersed deaf-blind population, the regional centers are expected to subcontract with approximately 250 to 300 State, local and private organizations. The current program thrust is upon rendering full-time educational services and upon providing technical assistance to subcontractors, in order to upgrade the development, implementation, and coordination of new service delivery systems and to facilitate the development of program alternatives. This program expects to carry out the following activities during FY 77:

- Full-time educational services
- Part-time educational services
- Medical diagnosis and educational evaluation
- Family counseling
- In service personnel training
- Satellite homes and
- Dissemination of information on methodologies, materials, curriculum, and proceedings of workshop and training services.

Program Effectiveness and Progress:

Information provided by the program suggests that the major drawback in reaching the program's goals is the acute shortage of trained teacher and teacher-aide personnel. It is estimated that an additional 500 to 600 teachers are needed to meet the needs of the known population of deaf-blind children, whereas current training programs are producing 40 to 50 qualified teachers yearly. Another limiting factor is the inadequacy of facilities; though facilities are available, many need to be modified or renovated to benefit these children. The program staff indicates that an additional deterrent toward program success is the lack of availability of instructional materials and technology.

Program monitoring information indicates that the Centers have been successful in terms of reaching increasing numbers of deaf-blind children.

The most recent program data shows that in FY 76 the program served a total of 4,516 children. Of those served, 4,216 received full-time educational services; 300 others were served on a part-time basis.

The 4,516 children served in FY 76 compares favorably with 4,170 in FY 75 and represents a substantial increase over FY 69 when 100 children were served by six programs in the United States.

Despite this evidence of growth and the projected growth rate for FY 77, considerable variation exists in the amount and quality of services provided. The Bureau is currently establishing basic minimum standards of service for the entire program.

It is estimated that in FY 77 approximately 5,996 deaf-blind children will be identified. In addition, it is projected that 4,216 will continue enrollment in full-time programs and 300 will be served in part-time programs. About 3,000 children are expected to receive initial diagnosis and evaluation services. Parents will continue to be counseled and an estimated 3,000 teachers and aides will be provided training related to problems of the deaf-blind population. Average per pupil cost to full-time educational programs should equal $3,012. Part-time per pupil costs should average approximately $1,000.

Ongoing and Planned Evaluation Studies:

A study was completed in May 1977 by Abt Associates Incorporated, titled, "An Asessment of Selected Resources for Severely Handicapped Children and Youth." This assessment described characteristics of 100 service providers to the severely handicapped population; among these were providers to the deaf-blind. This evalution demonstrated that providers serving deaf-blind clients:

- Often had mandates to serve other disability groups.
- Had high staff-client ratios for certified and non-certified teachers and attendants; however, this was not so for other types of staff.
- Varied in the quality of services they provided; e.g., residential providers delivered high quality services whereas, day care providers generally rendered services of poor quality.
- Commonly discharged deaf-blind clients because of (a) functional deterioration of the client or (b) to a decrease in the severity of the condition; however, the discharge rate for this disability group was lower than found for other severely handicapped client populations.

Sources of Evaluation Data:

Bureau of the Education of the Handicapped programmatic information.

"Assessment of Selected Resources for Severely Handicapped Children and Youth," Abt Associates, Incorporated. Completed May 1977.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Early Childhood Education

Legislation:

P.L. 91-230, Title VI, Part C,
Centers and Services to Meet
Special Needs of the Handicapped,
Section 623

Expiration Date:

September 30, 1982

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1969	$ 1,000,000	$ 945,000
	1970	10,000,000	4,000,000
	1971*		7,000,000
	1972*		7,500,000
	1973*		12,000,000
	1974*		12,000,000
	1975	25,500,000	14,000,000
	1976	36,000,000	22,000,000
	1977	38,000,000	22,000,000
	1978	25,000,000	22,000,000

Program Goals and Objectives:

According to budget documents and statute, this program was designed to build the capacity of State and local educational agencies and to provide comprehensive services for handicapped preschool children (birth through 8 years of age). The program supports demonstration and outreach projects in an attempt to accomplish this purpose. The Federal strategy is to work cooperatively with States, through public and private nonprofit agencies, to demonstrate a wide range of educational, therapeutic services, and coordinated social services in order to help establish competent State and local programs incorporating the best of demonstrated early educational practices for handicapped youth. This strategy is implemented through several types of projects: demonstration projects which develop service models based on current outstanding practices; outreach projects which actively disseminate model programs to replicate sites; and validated model projects which have met OE standards of excellence. In an effort to improve the dissemination of high quality information and manage programs effectively, contracts are awarded to provide technical assistance to projects and to states in developing State early childhood plans. Grants are awarded to SEAs to coordinate activities for the development of these State plans.

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* Totals of $36,500,000 in 1971, $51,500,000 in 1972, and $66,500,000 in 1973, were authorized for Part C, EHA, which includes early childhood projects, regional resource centers, and deaf-blind centers. The 1973 authorization was extended through 1974 by virtue of the one-year extension contained in GEPA.

Program Operations:

This program authorized under Part C, Section 623 of the Education of the Handicapped Act provides grants and contracts annually on the basis of national competition; each model demonstration is approved for a three year period, but receives second and third year funding on the basis of successful performance and availability of funds. Special one year demonstration grants are awarded to sites wishing to implement validated models. Outreach projects are funded on a one-year basis. The demonstration models developed under this program include the following components:

- Developing and demonstrating services for young children with handicaps; procedures for assessment of child progress and program evalution.
- Meeting the needs of parents and family members for counseling and emotional support, information, opportunity for observation, practice, home carryover and involvement in project planning and evalution.
- Provisions of inservice training to increase volunteer, paraprofessional and professional staff effectiveness.
- Coordination with other agencies, especially the public school.
- Dissemination of information to professionals and to the general public concerning comprehensive programming for young children with handicaps.

Program Scope:

According to program data, approximately 1,000,000 preschool children (0-8 years of age) have handicapping conditions. Approximately 30 percent of these children are being served in varying degrees through demonstration and outreach projects, Head Start and day care programs, public education day programs and through State-supported activities.

In FY 76 projects funded were: 38 new and 69 continuing demonstration model projects with total expenditures equaling $13,455,000; 26 new and 39 continuing outreach projects with expenditures of $5,835,000; 1 new technical assistance project with expenditures of $540,000; and 15 new state implementation projects with funding equal to $670,000. In total 192 projects were supported via this program.

In FY 77 it is estimated that 207 projects will be funded: 91 new awards and 116 non-competing continuations. There will be 50 new and 70 continuation service demonstration projects; 5 new and 45 continuing activities; and 25 new State implementation projects.

Program Effectiveness and Progress:

Program information, based on FY 73 project reports, indicates the following measures of effectiveness:

- 657 children graduated to other programs which previously would not accept them.
- 513 children were placed in special education classes.
- 886 children progressed sufficiently to be approved for enrollment in regular kindergarten or day care programs.

The implications of these data are that the program has been effective in increasing services provided to young handicapped children.

FY 75 program data of the direct impact through the demonstration and outreach activities are as follows:

- 9,936 children received direct services through demonstration projects.
- 17,907 parents served through project activities.
- 39,023 personnel were trained to work with the handicapped child.
- 33,394 children were served in projects developed as a result of HCEEP assistance.
- 899 projects/components were replicated.

A formal evaluation of Section 623 was conducted by Battelle Columbus Laboratories from September 1973 to June 1976. Analysis indicated a positive program impact in the personal-social, adaptive, cognitive, and communications growth areas (with the greatest impact on "Personal-Social development). Of all handicap groups, educable mentally retarded appeared to show the greatest overall gain, as did children with longer treatment periods. For all handicap groups, there was no significant impact in motor development.

Projects that had medium child-staff ratios (i.e., 4.8 to 6.8:1) that were home-based (as contrasted with center-based) and that had developed and used their own curriculum materials appeared to have the greatest impact on handicapped children.

A follow-up was conducted to determine where graduates of these projects were placed. About two-thirds of the graduates were placed in regular school classes and regular school classes with ancillary special education services; three-quarters of the graduates followed up were placed in public schools.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

Bureau of Education for the Handicapped programmatic data, "Evaluation of the Handicapped Children's Early Education Program," Battelle Memorial Institute, completed June 1976.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Severely Handicapped Projects

Legislation:	**Expiration Date:**
P.L. 91-230, Part C Section 624.	September 30, 1982

FUNDING HISTORY	**YEAR**	**AUTHORIZATION**	**APPROPRIATION**
	1974	1/	$ 2,247,000
	1975	2/	2,826,000
	1976	2/	3,250,000
	1977	3/	5,000,000
	1978	3/	5,000,000

Program Goals and Objectives:

The primary goal of this program is to establish and promote activities designed to meet the educational and training needs of severely handicapped children. Specifically, the demonstration projects funded are expected to develop and refine identification, screening, diagnostic, and prescriptive procedures; develop, demonstrate, and refine model curriculum, methodology, and educational materials; and package and disseminate the models, including curriculum guides and educational materials.

The ultimate goal in the educational and training of the handicapped is to enable these children to become as self-sufficient as possible, reducing their need for institutional care and increasing their opportunities for self-development.

1/ Funds in 1974 derived from Part C, Section 621 (Regional Resource Centers), Section 623 (Early Childhood Projects), and Part F (Media Services and Captioned Films). Total authorization for Part C in 1974 was $66,500,000; for Part F, $20,000,000.

2/ Funds in 1975 and 1976 derived from Part C, Section 621 (Regional Resource Centers), and Section 623 (Early Childhood Projects).

3/ Funds in 1977 and 1978 are derived from Part C, Section 621.

This program is seen as a major vehicle for assisting in the implementation of P.L. 94-142. Therefore, the Federal strategy is to eventually cover all States or sparsely populated multi-State regions with demonstrations appropriate to statewide needs.

The FY 77 expected strategies for accomplishing this objective will be to:

- Fund smaller projects as contrasted with large, highly funded programs. This will spread geographical coverage and support readily adaptable and replicable validated programs.
- Fund outreach projects by which validated project models and components can be replicated and through which technical assistance to new projects can be made available.

Program Operations:

In order to accomplish the objectives of this program, contracts are awarded competitively on a 1-year basis, with continuation funding for a second and third year based upon the project's effectiveness and replicability, and availability of funds. Eligible contractees are State departments of special education, intermediate or local education agencies, institutions of higher education, and other public or nonprofit private agencies.

Program and Scope Effectiveness:

Program data indicates that approximately 366,200 severely handicapped children are receiving some services from Federal, State and private sources. Program staff estimate that there are 1,404,948 severely handicapped children (ages 0-19) in the Nation. Of these children, 465,000 are severely or profoundly mentally retarded; and 905,000 are seriously emotionally disturbed (e.g., autistic or schizophrenic) and 34,948 have multiple handicaps.

Comparative statistics prepared by OE indicate that the total number of severely handicapped children needing specialized services has remained constant over the past 6 years. The least severely handicapped are gradually being integrated into less restrictive service environments, but past decreases have been offset by increased identification of severely handicapped children who do require specialized services.

In FY 76 24 projects were funded; 11 were new awards and 13 were noncompetitive continuation awards. All 10 states which had OE funded projects in 1974, the first year of this program's operation, are supporting projects which replicate OE developed models or which have developed new models for demonstration. In this fiscal year, approximately 1,244 children participated in demonstration projects. In FY 77, 43 projects were funded, 18 of these were continuation awards, and 24 were new project awards. Approximately 1,800 severely handicapped children are expected to participate in projects funded by this program.

States have historically failed to make educational services available to all severely handicapped children. It is anticipated that P.L. 94-142 will significantly reduce the number of unserved handicapped children. This law requires that if a State received Federal financial aid under this act the State must provide free, appropriate education (FAPE) to all handicapped children ages 3-18 by 1978, and those 3 to 21 by 1980, to the extent allowable by State law or practice. According to law, all States are required to give the second highest priority to providing a FAPE to all severely handicapped children within each disability group.

Ongoing and Planned Evaluation Studies:

None

Source of Evaluation Data:

Bureau of the Education of the Handicapped program information.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Regional Vocational, Adult, and Postsecondary Programs

Legislation:	**Expiration Date:**
P.L. 91-230, Title VI, Part C, as amended by P.L. 93-380 -- Regional Education Programs, Section 625	September 30, 1982

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1975	$ 1,000,000	$ 575,000
	1976	1/	2,000,000
	1977	1/	2,000,000
	1978	10,000,000	2,400,000

Program Goals and Objectives:

The legislation defines the goal of this program as providing vocational, technical, postsecondary, and adult educational opportunities for deaf and other handicapped persons. This program is directed to: (1) career education and the supportive services relative to career placement, and (2) teaching of skills necessary for successful and rewarding functioning in daily life. Programs include, but are not limited to, preparation for job placement in the white collar, skilled and unskilled occupational categories.

Program Operations:

Grants or contracts may be awarded to institutions of higher education, including junior and community colleges, vocational and technical institutions, and other appropriate nonprofit educational agencies. These grants and contracts are awarded for the development and operation of specially designed or modified programs of vocational, technical, postsecondary, or adult education for deaf or other handicapped persons. Priority consideration is given to:

- Programs serving multi-State regions or large population centers.
- Programs adapting existing programs of vocational technical, post-secondary, or adult education to the special needs of handicapped persons.

1/ Such sum has become necessary.

- Programs designed to serve areas where a need for such services is clearly demonstrated.

Program Scope and Effectiveness:

In FY 76 a total of 13 programs were funded, 10 of which were new awards. The level of funding for the programs was determined by the nature and level of services provided and the types of handicapping conditions addressed. The total number of handicapped persons served was 2,654, of which 800 were mentally retarded, and 786 were deaf or hard of hearing.

Budget documents indicate that in FY 77, technical assistance projects designed to create an increased awareness and broader adaption of the concept of modifying continuing education programs to benefit the handicapped are expected to be maintained. Current plans are to continue all 13 projects from FY 76. No new projects are anticipated.

The types of services provided to students include tutoring, counseling, recreational activities, notetaking, interpreting, wheelchair/personnel attending and adapting instructional media.

Ongoing and Planned Evaluation:

None

Source of Evaluation Data:

Bureau of Education for the Handicapped programmatic information.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Special Education Manpower Development

Legislation:

P.L. 91-230, Title VI, Part D
Training Personnel for the
Education of the Handicapped,
Sections 631, 632

Expiration Date:

September 30, 1982

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1966	$ 19,500,000	$ 19,500,000
	1967	29,500,000	24,500,000
	1968	34,000,000	24,500,000
	1969	37,500,000	29,000,000
	1970	57,000,000	35,610,000
	1971*		32,600,000
	1972*		34,645,000
	1973*		39,660,000
	1974*		39,615,000
	1975	45,000,000	37,700,000
	1976	52,000,000	40,375,000
	1977	50,000,000	45,375,000
	1978	75,000,000	45,375,000

Program Goals and Objectives:

According to budget documents the objective of this program is to ensure an adequate supply of educational personnel competent to deal with the special educational problems of the handicapped. This program provides financial assistance for the training of special and regular classroom teachers, supervisors, administors, researchers, teacher educators, speech correctionists, and other special services personnel such as specialists in physical education and recreation, music therapy, and paraprofessionals. Persons trained under this program come from a variety of professional backgrounds and training is not limited to persons with a background in education.

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* A total of $69,500,000 in 1971, $87,000,000 in 1972, and $103,500,000 in 1973 was authorized for Part D, EHA. The 1973 authorization was extended through 1974 by virtue of the one-year extension contained in GEPA.

Program Operations:

In order to accomplish the objectives of this program, the program awards grants to institutions of higher education, State education agencies, and other appropriate nonprofit agencies. Grantees are placed under a block grant system. The block grant system allows greater flexibility in the use of Federal funds than was possible under the previous system of allocating fixed support grants to a fixed stipend level. Thus the new system allows for funding allocations based on various priorities of differential needs such as stipends, faculty salries, or curriculum development. All awards are made on a 12 month basis and the program is forwarded funded with the minimum award being $1,000 and the average award approximately $70,000.

Through this program financial assistance is given to individuals for preservice training; i.e., full-time students specializing in special education. Additionally, individuals already in the field can receive support in order to upgrade their skills and technical knowledge about dealing with handicapped children. Related institutional support for faculty salaries associated with special educational training programs and for administrative costs is also provided.

Program Scope:

Budget documents indicate that in FY 77 this program is expected to train an estimated 8,034 pre service students at a cost of $24,350 and an estimated 11,230 in service students at a cost of $7,300. Through an estimated 775 projects the following activities should be initiated or continued:

Preparation of Special Educators

- In service/pre service training for education specialists serving handicapped children aged birth through 6 years. Many are to be working where handicapped are in regular programs.

- Preparation of special education personnel to serve the severely and multi-handicapped, including emotionally disturbed and autistic, and/or to meet national and regional needs for low incidence target groups. Note that P.L. 94-142 specifies that States must establish priorities which provide appropriate education to the most severely handicapped child, within each disability.

- Provide training to paraprofessionals who assist both special education and regular classroom teachers.

- Train specialists who use (1) physical education or (2) therapeutic recreation as part of a child's overall education program. In many instances these additional types of service are required so that a handicapped child can function in a regular classroom at least part of each day.

- Prepare specialists from various interdisciplinary fields such as the health and social sciences to integrate educational information, methodology and practices for the handicapped child.

- Provide training and financial assistance to students who are specialists in handicapping conditions and in-service training to upgrade the skills of special education generalists already in the field.

- Train teachers for vocational and career education for the handicapped

Special Education training for regular education teachers

Provide training in special education to personnel preparing for regular classroom teaching and administration and in-service training for regular classroom personnel already in the field. Because the legislation specifies that handicapped children be placed in the "least restrictive environment", and regular classroom personnel will be encountering these children in their classrooms, the need for such training is increasing. These programs may include supportive services from special education personnel who work with handicapped children.

Program Effectiveness and Progress:

Program staff estimates that in order for the educational system to meet its full service need commitment of 500,000 teachers, an additional 260,000 specially trained teachers are needed.

The passage of P.L. 94-142 specifies that handicapped persons be placed in the "least restrictive educational environment". Therefore as children are served under this mandate, an increasing number of regular classroom teachers will be encountering handicapped children. Current emphasis is being placed upon institutions of higher education (IHE) to improve the capability of regular classroom teachers to effectively work with children with handicapping conditions. The training is expected to emphasize:

- knowledge of the handicapped including attitude and awareness training

- teaching methodologies used with handicapped children

- classroom management skills

- utilization of specialized and ancillary personnel to provide support services

Ongoing and Planned Evaluation Studies:

BEH and OPBE are currently discussing this issue.

Source of Evaluation Data:

Bureau of Education for the Handicapped program information.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Recruitment and Information

Legislation:

P.L. 91-230, Title VI, Part D-
Training Personnel for the
Education of the Handicapped
Sec. 633

Expiration Date:

September 30, 1982

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1966		
	1967		
	1968	$	
	1969	1,000,000	$ 250,000
	1970	1,000,000	475,000
	1971*		500,000
	1972*		500,000
	1973*		664,000
	1974*		500,000
	1975	500,000	500,000
	1976	500,000	500,000
	1977	1,000,000	1,000,000
	1978	2,000,000	1,000,000

Program Goals and Objectives:

According to the statute, this program was designed to encourge people to enter the field of special education, to disseminate information and provide referral services for parents of handicapped children, and to assist them in their attempts to locate appropriate diagnostic and educational programs for their children.

Program Operation:

This program operates by providing non matching grants or contracts to public or nonprofit private agencies, organizations, or institutions with the requirement that such funds be used for:

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* A total of $69,500,000 in 1971, $87,000,000 in 1972, and $103,500,000 in 1973, was authorized for Part D, EHA. The 1973 authorization was extended through 1974 by virtue of the one-year extension contained in GEPA.

Encouraging students and professional personnel to work in various fields of education of handicapped children and youth through developing and distributing innovative materials to assist in recruiting personnel for such careers, and by publicizing existing forms of financial aid which might enable students to pursue such careers

Disseminating information about the programs, services and resources for the education of handicapped children, or providing referral services to parents, teachers, and other persons especially interested in the handicapped.

Program Scope and Effectiveness:

In FY 1974 funds continued 12 referral centers operating through Health and Welfare Councils, designed to assist parents and other persons in obtaining the most appropriate services for handicapped children. Additionally, regional television and radio campaigns were undertaken in concert with other Department of Health, Education, and Welfare activities concerning the handicapped, in a concerted effort to coordinate information systems and to aid regional and State programs in attracting the quality and quantity of teachers required. In FY 74 referral services operated in approximately 100 cities.

In FY 75 approximately 25 referral centers existed (the main center is located in Massachusetts) which disseminate informational services throughout the country. Activities include: 1) providing program information to approximately 50,000 new parents through Closer Look ads and mailings from the Special Education Information Center (SEIC). This newsletter reaches about 150,000 parents on a continous basis; (2) establishment of a regional replication in the Southwest, which included medical, mental health, social and educational referral and information services; (3) conducted a showing on both commercial and public stations of a TV program designed to increase public awareness; and (4) continued to target recruitment information to increase the number of special and regular educators with a particular understanding of the needs of minority and bilingual handicapped children.

In FY 76 three new projects were added. These were: (1) Federation for Children with Special Needs, which is a pilot project with 1-year funding for giving grants to local information units; (2) Information Clearinghouse, and (3) Media Outreach Campaign.

In addition to continuing activities supported in previous years, new activities proposed for FY 77 are:

- To provide assistance grants to train potential managers of local information units. Strong emphasis will be placed on involvement of parents of the handicapped in planning these units, and in selecting host organizations to operate and eventually take over financial responsibility for continued operation.

- To produce a technical manual with evaluative criteria on information systems and referral services; to facilitate exchange of information between these regional units and State, local and Federal organizations and agencies; and to produce a manual to assist parents to evaluate the relevance of programs to children's needs.
- To assess the needs of and design information packages for special handicapped populations such as the bilingual, Indians, disadvantaged, and geographically isolated.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

Bureau of Education for the Handicapped program information.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Innovation and Development

Legislation:	**Expiration Date:**
P.L. 91-230, Title VI, Part E -- Research in the Education of the Handicapped, Section 641 and Section 642	September 30, 1982

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1965	$ 2,000,000	$ 2,000,000
	1966	6,000,000	6,000,000
	1967	9,000,000	8,000,000
	1968	12,000,000	11,100,000
	1969	14,000,000	12,800,000
	1970	18,000,000	13,360,000
	1971	27,000,000	15,300,000
	1972	35,500,000	15,755,000
	1973*	45,000,000	9,916,000
	1974*		9,916,000
	1975*	15,000,000	9,341,000
	1976*	20,000,000	11,000,000
	1977	20,000,000	11,000,000
	1978	20,000,000	20,000,000

Program Goals and Objectives:

According to budget documents the innovation and development activities attempt to improve the effectiveness and efficiency of the educational system and its provisions for handicapped children by supporting the development and validation of new service models, by packaging that information in usable form, and by systematically assuring that this information is placed in appropriate hands.

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* In April, 1975, litigation was settled which resulted in the release of $12,550,000 appropriated under the 1973 continuing resolution. Of these funds $3,035,897 is being used in the Innovation and Development program during FY 76, increasing obligations over 1976 apppropriations by that amount. All activities with FY 73/76 monies will be of a one year nature and will not be extended beyond FY 76. The 1973 authorization was extended through 1974 by virtue of the one-year extension contained in the General Educational Provisions Act.

Program Operations:

This program addresses the improvement of educational opportunities for handicapped children through support of decision-oriented research and related activities. Support includes grants or contracts for research, surveys, or model demonstrations, relating to education of handicapped children. Additionally, grants are made for similar activities relating to physical education or recreation for handicapped children. Activities are integrated in a planned pattern to support teacher training and the special service functions of the total Federal program for handicapped children.

Grants and/or contracts are made to State or local educational agencies, institutions of higher education, and other public or private educational or research agencies and organizations. These are awarded on the basis of a national competition. Projects are approved for periods ranging from 1 to 5 years; but awards are generally made for one year, with continued funding based on quality performance and availability of funds.

Program Scope and Effectiveness:

In FY 77 105 projects were supported; of these 50 are new efforts and 55 are continuations of projects begun in previous years. These projects support the following types of program activities; program for orthopedically and otherwise health impaired children, hearing impaired children, programs for the mentally retarded, programs for speech impaired, visually impaired, and other programs classified as non categorical. The largest expenditure is allocated to non categorical programs. Slightly more than half of the total funds available went to support research activities and the remainder was used to support demonstration and development efforts.

Awards have been distributed as follows: $1,500,000 for Early Childhood activities; $5,200,000 for Full School Service activities; $1,000,000 for Career Education; $2,000,000 for Severely Handicapped projects; $1,000,000 for Personnel Development; and $300,000 for Child Advocacy studies.

Ongoing and Planned Evaluation:

None

Source of Evaluation Data:

Bureau of the Education of the Handicapped program data.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Media Services and Captioned Films

Legislation:	**Expiration Date:**
P.L. 91-230, Title VI, Part F-Instructional Media for the Handicapped, Section 652 and 653; as amended by P.L. 93-380, Section 620	Indefinite

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1966		
	1967	$ 3,000,000	$ 2,800,000
	1968	8,000,000	2,800,000
	1969	8,000,000	4,750,000
	1970	10,000,000	6,500,000
	1971	12,500,000	6,000,000
	1972	15,000,000	6,000,000
	1973	20,000,000	13,000,000
	1974	20,000,000	13,000,000
	1975	18,000,000	13,250,000
	1976	22,000,000	16,250,000 1/
	1977	22,000,000	19,000,000
	1978	24,000,000	19,000,000

Program Goals and Objectives:

In order to respond to the need to help provide the handicapped learner with special educational materials, this program supports grants and contracts for this purpose. This includes producing and distributing educational media for the use of handicapped persons, their parents, their actual or potential employers, and other persons directly involved in work for the advancement of the handicapped; captioning and distributing films and other visual media in order to promote the general welfare of deaf persons; training persons in the use of educational media for the instruction of the handicapped; and carrying on research in the use of educational media for the handicapped. This latter purpose is being advanced through the operation of a system of centers which focus on demonstration and technical assistance to facilitate more effective utilization of media and materials for the handicapped.

1/ In April 1975, litigation was settled which resulted in the release of $12,500,000 appropriate under the 1973 Continuing Resolution. Of these funds, $1,012,332 was used in the Media Services and Captioned Films program during fiscal year 1976, increasing obligations over 1976 by that amount.

Program Operations:

To accomplish program objectives, a loan service has been established for captioned films for the deaf and related educational media for the handicapped. Educational materials are made available in the United States for nonprofit purposes to handicapped persons, parents of handicapped persons, and other persons directly involved in activities for the advancement of the handicapped. Activities permissible for this purpose include: the acquisition of films and other educational media for purchase, lease or gift; acquisition by lease or purchase equipment necessary for the administration of the above. Contracts are provided for the captioning of films and for the distribution of films and other educational media and equipment through State schools for the handicapped and other appropriate agencies which serve as local or regional centers for such distribution. Additionally, grants or contracts provide for research in the use and production of educational and training media. Provisions are made for the distribution of the materials, for utilizing the services and facilities of other governmental agencies and for accepting gifts, contributions, as well as voluntary and uncompensated services of individuals and organizations. Projects are approved for periods of up to 36 months, but awards are made annually, with renewals funded on the basis of a project's effectiveness, the replicability of its elements and availability of funds.

Program Scope and Effectiveness:

In FY 76 the national system provided materials and techniques for educating handicapped children through 13 Area Learning Resource Centers; six of which serve individual States while the remaining seven serve up to 10 states. Additionally, there are four special offices, the National Center on Educational Media and Materials for the Handicapped (NCEMMH), and over 800 State and local "associated centers," and increase of over 500 from FY 76, establsihed with the assistance of the national system. In addition, captioned films distributed to deaf adults and to schools and classes for the deaf reached an audience of approximately 4,000,000 people, while captioned television news reached an estimated 6 million per broadcast. During FY 77 the following types of activities are expected to be supported under this program:

- ° Captioned films for the deaf
- ° Captioned TV & telecommunications
- ° Recordings for the blind
- ° Educational Media and Materials Centers and Services
- ° National Theatre of the Deaf
- ° Marketing and Implementation Activities

The FY 77 plans for this program are to provide approximately the same level of program operations as in 1976 with slight decreases in lower priority activities. A total of 129 awards should be made during [illegible]

1) Educational Media and Materials Centers: Support of centers, to be first funded in fiscal year 1977 in response to a legislatively mandated reorganization of functions, will be continued. Emphasis will be on securing the systematice delivery of educational technology to handicapped persons through support for the design and/or adaptation, development, production, marketing and dissemination of suitable educational materials. Centers also provide training in the selection and use of these materials and promote usage of materials which are available for distribution or circulation.

2) Marketing and Implementation Strategy: 30 awards are expected to be made to continue the development of a marketing and implementation strategy to assure that models of curricula and materials designed for the handicapped are widely distributed among handicapped consumers. This strategy should help promote testing and development of promising prototypes of educational devices for production models.

   Contracts, began in 1976, for the dissemination of Optacons to the blind, will be continued. The Optacon is a device, developed with Federal funds, enabling blind people to read print. The production of custom-made tape copies of textbooks will also continue, for distribution to elementary and high school students.

3) Captioning and Recording: A total of 79 awards are expected to be made in order to continue the adaptation development, production, and distribution of devices and materials incorporating the most recent technological and telecommunicative developments in television and recording. The program will caption television programs for the deaf and develop new television programming for the handicapped, and develop educational programming for parents of the handicapped.

   The program will also continue to support the production of recordings for the blind and print-handicapped.

4) National Theatre of the Deaf: Support is anticipated in order to continue the National Theatre of the Deaf. This serves as a talent center for activities in the theatre arts for the deaf, providing vocational, educational, cultural, and social enrichment.

Ongoing and Planned Evaluation:

None

Source of Evaluation Data:

Bureau of the Education of the Handicapped program data.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Specific Learning Disabilities

Legislation:	**Expiration Date:**
P.L. 91-230, Title VI, Part G- Special Program for Children with Specific Learning Disabilities	September 30, 1977

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1966		
	1967		
	1968		
	1969		
	1970		
	1971	$ 20,000,000	$ 1,000,000
	1972	31,000,000	2,250,000
	1973	31,000,000	2,750,000
	1974*		3,250,000
	1975	10,000,000	3,250,000
	1976	20,000,000 1/	5,000,000
	1977 2/	20,000,000	9,000,000
	1978	-0-	-0-

Program Goals and Objectives:

According to statute this program was designed to stimulate State and local provisions of comprehensive identification, diagnostic, prescriptive and educational services for all children with specific learning disabilities. This program supports model programs and supportive technical assistance, research, and training activities. It also provides for early screening programs to identify these children; for dissemination of information about the learning disabilities programs; and for replication of model programs or program components.

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* The 1973 authorization was extended through 1974 by virtue of the one-year extension contained in the General Education Provisions Act.

1/ In April 1975, litigation was settled which resulted in the release of $12,500,000 appropriated under the 1973 Continuing Resolution. Of these funds, $500,000 was used in Specific Learning Disabilities program during Fiscal Year 1976, increasing obligations over the 1976 appropriation by that amount.

2/ This program terminates September 30, 1977; relevant aspects will be funded under EHA Part E, Sec. 641 (Research and Demonstration Projects in Education of Handicapped Children).

Recognition of this discrete type of handicap has been relatively recent and Federal activities are designed to help define the nature of the disorders, to stimulate adoption of early screening procedures, identify treatment approaches and to stimulate an increased supply of teachers trained to the problems of the affected population.

Program Operations:

In order to implement this program, which is forward funded, grants and contracts are awarded annually through national competition and are made to institutions of higher education, State and local educational agencies, and other public and private educational research agencies and organizations (grants can be made only to nonprofit agencies or organizations).

To qualify for a grant or contract an offeror must focus his efforts in one or more of the following areas:

- Research and related purposes relating to the education of children with specific learning disabilities.
- Professional or advanced training for educational personnel who are teaching, or preparing to teach, children with these learning disorders; or such training for individuals who are, or are preparing to be, supervisors and teachers of such personnel.
- Development and operation of model centers for the improvement of education of specific learning disabled individuals; Centers are required to screen and identify learning disabled children and provide diagnosis and evaluation; develop and conduct model programs, assist appropriate educational agencies, organizations, and institutions in making such programs available to other children with specific learning disorders; evaluate and disseminate new methods and techniques to other agencies/organizations.

Program Scope and Effectiveness:

In FY 76, a total of 41 projects were funded; of these, 25 were new awards and 16 were noncompetitive continuation awards. This program served 9,850 children, an increase slightly greater than 1,000 above the number of children served the previous fiscal year. Approximately 3,800 parents were provided with counseling services. With FY 77 funds it is expected that a total of 52 awards will be made: 27 new demonstration projects, 24 continuation, and 1 technical assistance project. These awards should complete the coverage of all 50 States with model demonstration centers.

Population data based on 1974-1975 State plans indicate that:

- 1,966,000 children were estimated to have learning disorders
- 235,000 children receive special instructional services
- 1,731,000 (88 percent of the estimated target population) receive no services.

An evalution of this program was completed by the American Institute for Research in December 1976; it concluded that the Child Service Demonstration Centers (CSDCs) surveyed (1) have made good progress towards devising child-centered learning disabilities programs which emphasize individualized diagnosis and programming and (2) have made serious efforts to carry out their mandate to stimulate other State and local services to LD children.

Of the 17 centers surveyed it was found that 12 were emphasizing the development of effective procedures for identifying and meeting the needs of LD children, 11 were emphasizing training of teachers in the use of model techniques, and 10 were focusing on the dissemination of information about the nature of CSDC programs.

No center relied solely on Title VI-G funds, and in larger centers more than half the funding was from other sources.

While parents were found to be supportive of the projects in terms of positive affects on their children, parents were not highly involved in the activities nor were they consistently receiving training across the centers.

Full replication of the CSDC services had happened only in about half the centers. The CSDCs generally felt that replication was best undertaken after several years of experience in developing a model diagnostic/prescriptive approach.

Ongoing and Planned Evaluation Studies:

None

Source of Evaluation Data:

Bureau of Education for the Handicapped program data.

A Study of Special Programs for Children with Specific Learning Disabilities, American Institutes for Research, December 1976.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Special Studies

Legislation: P.L. 94-142, Section 618

Expiration Date: Indefinite

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1977	1/	$ 1,735,000
	1978	1/	2,300,000

Program Goals and Objectives:

The purpose of this program is to measure and evaluate the provision by States to all handicapped children of a free, appropriate, public education as required by the Education of All Handicapped Children Act of 1975, P.L. 94-142. Section 618 mandate that evaluation activities be undertaken. Studies conducted under this program will provide the basis for a comprehensive, reliable and valid information system pertaining to the provisions in this law. Activities completed by this program will enable the Commissioner to meet legislative requirements to assess the implementation, impact, and effectiveness of P.L. 94-142. This should better enable the Federal Government to provide technical assistance to promote accoutability by the State and local education agencies. Since the Commissioner must report to Congress annually on the progress made toward meeting the full educational opportunities goal (FEOG) specified in P.L. 94-142, these studies will provide a foundation for that report.

Program Operations:

The Commissioner shall conduct directly, or by grant or contract studies to accomplish the goal of this program.

Program Scope and Effectiveness:

Studies already funded or anciticpated to be funded are expected to focus around the following questions:

- Are we serving the intended beneficiaries?
- Where are the beneficiaries being served?
- What services are being provided to children?

1/ Such sum as become necessary.

- Do services provided meet the intent of the law?
- What administrative mechanisms are in place?
- What are the consequences of implementing the law?

Ongoing and Planned Evaluation:

None

Sources of Evaluation Data:

Bureau of Education of the Handicapped program data.

I. Evaluation of Programs for Career, Occupational, and Adult Education

The common purpose of these programs is to bridge the gap between education and work by enabling individuals to learn about a wide range of occupations, to make a rational selection of a career area, to prepare for employment in a specific occupation, and to be employed. The newest of these programs, Career Education, provides a new way of looking at education from kindergarten through postsecondary schooling. Initial emphasis has been on relating education to work at all levels and on building a broad understanding of different types of work at the elementary level with later development of decision-making skills to utilize this knowledge along with a knowledge of self in exploring appropriate occupations. Vocational education picks up at the secondary level and concentrates on more specific knowledge and training needed for selected occupations. Attention is also being given to vocational training at the postsecondary level. Adult education, under existing legislation, concentrates primarily on those who are unable to be employed at higher skill levels because of a lack of basic language and computational skills as represented by completion of the eighth grade or by a high-school diploma. Increasing attention in the education of adults is being given to the concept of "functional competency" as represented by the tasks an adult must perform to cope adequately in our society.

Programs in the career-occupational-adult category are of two basic types: (1) Federal programs which allocate funds to States on a formula basis with the States making decisions on the use of such funds, and (2) Commissioner's discretionary programs in which allocations of funds are made through competitive awards of grants or contracts. In general, studies of the State grant programs show them to be responsible for growth in vocational education enrollments but these programs are no more or less effective in terms of educational achievement than other curricula. A study of school-supervised work education programs shows that cooperative education programs, as intended, do provide students with work experience in jobs related to their occupational training programs. Work-study programs meet their basic objective, which is to keep students in school by providing them with financial assistance. The recently completed studies assessing the set-asides under the State grant programs for the disadvantaged and handicapped students reflect the need for improved planning, technical assistance, and evaluation. The GAO report on Vocational Education and most OE studies suggest problems with Federal, State and local management and the need for additional planning and management capability. The Education Amendments of 1976 address many of the management issues surfaced in the GAO report, the study of vocational programs for handicapped students, and other OE studies.

Among the discretionary programs, an evaluation of one, Vocational Education Exemplary Projects (Part D, VEA), was reported 2 years ago and a second program, that in Career Education, was surveyed last year. The Vocational Exemplary Projects were used as the basis of a GAO Report on Career Education which recommended that greater attention be given to:

-- Analyzing problems in career education implementation at the junior and senior high levels so that appropriate actions can be taken to improve program effectiveness.

-- Emphasizing to projects the need to orient and train teachers in the implementation of career education.

-- Increasing efforts to include career education in teacher training programs at the college level.

-- Increasing efforts to develop appropriate measures of the impact of career education.

-- Improving evaluations of career education projects so they may be used to assess project results and to provide a basis for making project improvements and so they may be used by local education agencies in considering career education alternatives.

The report on "Career Education in the Public Schools, 1974-75: A National Survey" was completed and forwarded to the Congress in May 1976. This study, which was mandated by Public Law 93-380, showed that interest in career education was widespread in the United States, but that broad implementation had just begun. Although 52 percent of the Nation's students were in districts where at least one of 15 major career education learning activities was broadly implemented, only a fifth (21 percent) were in districts where over half of the 15 activities were well established. Various data from this survey have been used by legislators in both the House and the Senate and by Administration representatives in considering H. R. 7 and S 1328, bills which have been introduced during the current legislative session.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Vocational Education - Programs for the Disadvantaged

Legislation:	**Expiration Date:**
Vocational Education Act of 1963 as amended 1968, Part A, Section 102 (b) and amended by Public Law 94-4822 Part A, subpart 4	September 30, 1982

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1969	$ 40,000,000	-0-
	1970	40,000,000	$ 20,000,000
	1971	50,000,000	20,000,000
	1972	60,000,000	20,000,000
	1973	60,000,000	20,000,000
	1974	60,000,000	20,000,000
	1975	60,000,000	20,000,000
	1976	60,000,000	20,000,000
	1977	30,000,000	20,000,000
	1978	35,000,000	20,000,000

Program Goals and Objectives:

Under Section 102(b) of Part A of the Vocational Education Act, as amended in 1968, funds are provided to assist the States in providing support for programs and services for persons (other than handicapped persons) who have academic, socioeconomic, or other handicaps that prevent them from succeeding in the regular vocational education program. Funds shall be allocated within the State to areas of high concentration of youth unemployment and school dropouts. Services and programs may also be provided to eligible students in nonprofit private schools. This program will continue under the 1976 Amendments as authorized by Part A, subpart 4.

Program Operation:

Grants are allocated to the States by formula, based with no matching required, to assist in providing support for programs and services for persons who are unable to succeed in regular vocational programs because of poor academic background, lack of motivation, and/or depressing environmental factors. Programs are concentrated within the States in communities where there is high incidence of youth unemployment and high school dropouts. Special services and programs are provided these youth and adults to encourage them to stay in school to acquire the academic and occupational skills needed for successful employment or to continue to pursue their career preparation.

Special services include specially trained teachers in remedial and bilingual specialties, staff aides, additional counseling services, facilities accessible to a high concentration of these students, and instructional materials and equipment best suited to their needs and abilities.

Some of the areas where these funds have been expended are those where English is a second language, rural depressed communities, low-cost housing developments in the inner city, correctional institutions, and off-reservation locations with a predominance of American Indians.

Program Scope:

States reported 161,633 students received services and/or participated in programs designed to meet their special needs in FY 1975. Of these students, 102,441 were at the secondary level, 29,285 were at the postsecondary level, and 28,907 at the adult level.

Program Effectiveness and Progress:

State reports do not describe the kinds of services available, the effectiveness of such services in improving student retention and completion in occupational training programs or other impact data.

Ongoing and Planned Evaluation Studies:

Findings from the Assessment of the Disadvantaged Setaside under State grants and the Special Needs categorical program are reported under the State grant evaluation. States generally used Special needs funds for specific projects. Some States use this money for populations they do not ordinarily serve such as correctional inmates and school dropouts.

Sources of Evaluation Data:

Annual State Vocational Education Reports

State Advisory Committee Reports

Assessment of Vocational Education Students for Disadvantaged Students, Olympus Research Corporation, December 1976.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Vocational Education - Basic Grants to States

Legislation	**Expiration Date**
Vocational Education Act of 1963 as amended, 1968, Part B and amended by P.L. 94-482, Part A, subparts 2 and 3	September 30, 1982

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION*
	1965	$156,641,000	$156,446,000
	1966	209,741,000	209,741,000
	1967	252,491,000	248,216,000
	1968	252,491,000	249,300,000
	1969	314,500,000	248,316,000
	1970	503,500,000	300,336,000
	1971	602,500,000	315,302,000
	1972	602,500,000	376,682,000
	1973	504,000,000	376,682,000
	1974	504,000,000	405,347,000
	1975	504,000,000	420,978,000
	1976	504,000,000	415,529,100
	1977	450,000,000	441,382,275
	1978	880,000,000	515,899,000 1/

Program Goals and Objectives

Existing legislation authorizes Federal grants to States to assist them to maintain, extend and improve existing programs of vocational education, to develop new programs of vocational education, and to provide part-time employment for youths who need the earnings from such employment to continue their vocational training on a full-time basis, so that persons of all ages in communities of the State will have ready access to vocational training or retraining which is of high quality.

Vocational education funds are appropriated on an advance basis. This will enable States and local school officials to plan more efficiently and effectively by knowing in advance of the school year what Federal assistance will be available.

Consolidations and increased State accountability are mandated in the Education Amendments of 1976, and will become effective in fiscal year 1978.

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* This does not include the permanent authorization of $7.1 million apportioned to the States each year under the Smith-Hughes Act.

1/ Includes basic grants and budget for program improvement and supportive services, under P.L. 94-482.

Program Operation

Formula grants are made to the States to assist them in conducting vocational education programs for persons of all ages with the objective of insuring that vocational education and training programs are available to all individuals who desire and need such education and training for gainful employment. States are required to set aside 15 percent for vocational education for the disadvantaged; 15 percent for post secondary programs; and 10 percent for vocational education for the handicapped. Funds may be used for the construction of area vocational education facilities. States are required to match one dollar for every Federal dollar. P.L. 94-482 continues the concept of set-asides with some alterations, including a requirement that States match funds.

Program Scope

In FY 1975, the States reported that 11,894,936 students were enrolled in vocational education classes funded by Part B and State and local matching funds. Of these, 6,761,629 were secondary students; 1,834,691, postsecondary, and 3,298,616 were adult. (FY 1976 data were not available at the time this report was prepared.)

Enrollments of disadvantaged and handicapped students were as follows:

Disadvantaged	
Secondary	1,230,646
Postsecondary	171,040
Adult	340,340
Total	1,742,026
Handicapped	
Secondary	201,168
Postsecondary	31,911
Adult	29,985
Total	263,064

Program data at the Federal level are generally limited to enrollment and expenditure data from required State plans and annual reports submitted by State education agencies. GAO and program monitoring and evaluation studies document the difficulties of the data. There is no established procedure for the development of response material for specific data requirements which are not included in the basic reporting system. Plans are underway for a new vocational education data system as mandated by P.L. 94-482. This system is expected to be operational by FY 1979.

For the first time in several years, States reported total enrollments for all programs by race or ethnic origin during FY 1975. Although nine States and territories did not report student characteristics, the data provide trend information.

	Total	Secondary	Postsecondary	Adult
American Indian or Alaska Native	97,894	60,330	13,811	23,753
Black, not of Hispanic origin	1,874,033	1,232,704	202,849	438,480
Asian or Pacific Islander	138,053	77,722	26,189	34,142
Hispanic	702,245	377,072	121,880	203,293
White, not Hispanic	9,612,763	5,262,946	1,408,745	2,941,072

Program Effectiveness and Progress

Studies of the effect of participation in vocational education programs have thus far presented inconsistent results. Some studies show increases in earnings and the ability to obtain a job, others do not; some show increased educational achievement, while others show no difference; most studies show vocational students to have a positive opinion regarding the programs they experience. The evidence so far developed is as follows:

Study of Vocational Programs for Disadvantaged Students

A recent study assessed programs for the disadvantaged under the State setaside grant program and Part A, Section 102 (b) providing 100 percent funding of vocational education programs for the disadvantaged. The study involved 23 States, 77 communities including 55 local education agencies and 22 community college districts. Eighty-four projects were visited, including 62 secondary and 22 postsecondary.

Findings indicate that State and local administrators have difficulty in interpreting the congressional definition of "disadvantaged" because: (1) they see an apparent conflict between the identification of students on an individual basis and the designation of target areas or groups; (2) they cite the existence of allegedly conflicting definitions of "disadvantaged" contained in laws other than the Vocational Amendments of 1968; and (3) local administrators indicate they are unwilling to "label" students as disadvantaged. The most common criteria used to identify disadvantaged students was academic, that is, students who are one or more grade levels behind their peers.

The vast majority of the Federal funds were used to hire staff who work directly with students. Only a small portion of funds were used to hire administrative personnel and the result appeared to be that the program suffers from lack of planning and monitoring at all levels.

The States generally had only one person supervising these programs and little time was available for planning, monitoring or evaluating programs. In States where education agencies were subdivided into regions, program monitoring and evaluation appeared to be more complete and program officers were familiar with the programs. Sixteen of the 23 States 70 percent, required local education jurisdictions or schools to submit proposals to the State, according to established guidelines, and funded projects on the basis of the quality of the proposals and the ability of the sponsors to carry out the projects. The other States funded on a block grant formula basis to a local education jurisdiction.

The major constraints in developing programs mentioned by respondents at all levels were: lack of funds, lack of facilities, unwillingness of some instructional personnel to accept disadvantaged students into their classes, the negative image of vocational education and ambiguity of the term "disadvantaged student."

About 46 percent of the enrollment in high school projects was minority; characteristics information by race and ethnic background was not available for 51 percent of the postsecondary enrollment. Of the known postsecondary-level enrollment, 22 percent were minority and 27 percent white. Women comprised a slightly higher percentage of the total high school enrollment than men; the opposite was true at the postsecondary level. However, characteristics by sex were unavailable for 34 percent of the postsecondary enrollment.

The fact that half of the project directors interviewed did not believe that the students enrolled in their classes were disadvantaged raises serious questions. At the school level, little criteria existed for identifying disadvantaged students and a corresponding lack of adequate assessment procedures for determining the conditions which cause school failure.

Nearly half of the secondary enrollment (47 percent) were in world-of-work projects; 47 percent of the postsecondary-level students were enrolled in remedial programs. The latter were often enrolled in skills training programs not funded out of Part B setaside or Section 102(b) funds. In such cases, disadvantaged funds were being used to support students enrolled in regular programs.

Almost half of the high school students were enrolled in work experience programs, indicating that it was not difficult to place disadvantaged students in work situations. However, the vast majority of students enrolled in work experience programs (86 percent) were not receiving skills training in school.

According to the 442 work experience students interviewed, the tasks they were performing on-the-job were in low-skill, low-pay, and high-turnover occupations. For example, 78 percent of the tasks listed in the food service category were waitress, food handlers, busboys and dishwashers; 44 percent of the tasks listed under car maintenance were service station attendant, wash cars, and park cars; 80 percent of the jobs listed under child and hospital care were to take care of patients (give baths and so on) and child care or babysitting.

There are positive outcomes for the programs. Program costs at $395 per enrollee (Federal costs) and $401 per enrollee (combined Federal, State and local) were low. The average completion rate (83 percent) was high. The student participant ratings of the programs were overwhelmingly favorable and the employer ratings of the programs and their student employees were also favorable. Administrators generally attribute the favorable rating of students to the fact that enrollees do receive attention they have not received elsewhere.

Analysis of the Follow-up of Class of 1972

Preliminary data prepared by NCES from the Longitudinal Study of the Class of 1972, 18 months after graduation, provides insights on what happens to vocational students.

Sixty-two percent of those who had been in a vocational-technical program in high school indicated that the specialized training they had received in high school prepared them for immediate employment upon graduation.

Of those who had received specialized training, 63 percent of the vocational students had worked in jobs where they expected to use this training. The corresponding figures for those who had been in academic or general programs were 60 and 53 percent, respectively. Perhaps a better indicator of ability to obtain jobs in areas of specialized training is given by excluding from the analysis persons who never looked for work in the area of their specialized training. When these persons are excluded, the resulting rates of success in obtaining jobs in areas of specialized high school training are about 80 percent for those who had taken vocational or academic programs and 77 percent for those who had taken general programs. Among the vocational areas, the business and office category had the highest success rate (81 percent); the home economics areas, the lowest (62 percent).

Those persons who said they had worked in a job where they expected to use their specialized high school training were asked 12 questions related to satisfaction with this training. Those who had been in vocational high school programs tended to have slightly more favorable opinions about their training than those who had been in academic or generalized programs. For example, among the vocational students, 87 percent answered that they considered their training a wise choice as opposed to about 80 percent of the academic and general students.

Only 29 percent of the vocational students replied affirmatively that they could have gotten their job without their training, whereas the percentages were 34 and 37 for academic and general students, respectively.

An Assessment of Vocational Education Programs for Handicapped Students

The study reviewed the operation and administration of the Part B setaside for handicapped students in 25 States, selected randomly with a probability proportionate to total enrollments in the 50 States. A total of 92 projects were visited for the project level assessment. A total of 1,000 student and parent interviews was conducted in five of the sample States, 681 with students currently enrolled and 320 with students who had completed projects. A sample of participating and nonparticipating employers were interviewed.

Findings indicate that Part B setasides have resulted in projects which would have never occurred had there been no such legislation. About 93 percent of the funds were used to provide direct services to students. Cost and outcome data were seriously deficient at both the State and local levels. However, according to what data was available, including results of the student, parent and employer interviews, the program appeared to be working well. Costs per student and completer were not excessive and placement rates ranged from 48 to 60 percent for completers. About 33 percent reenrolled in school, and only about 15 percent of the completers were unemployed.

There is little long-term planning at the State or local level. Planning was limited to review of project proposals and decisions as to which proposals would be funded, generally on the basis of the sizes of school districts and other formulas. Factors which mitigated against planning at the State level were the independence of the local education agencies and the fact that only one person was assigned at the State level to administer the setaside program.

At the project level, vocational and special education staff worked closely together to provide training and services to students. Those vocational staff who worked with handicapped students generally had no special background for working with handicapped students and desired such training. Few examples of individualized instruction were found, except to the extent that "hands on" vocational training was practiced. Although most local administrators indicated that it was the school district policy to integrate the handicapped with regular students, about 70 percent of the students enrolled were in "special" classes. A constraint to "mainstreaming" the lack of experience in dealing with these populations appeared to be a problem. School administrators were often not sure how to mainstream students and retain separate files for auditors and reporting systems. States in Region V appeared to be further along in integrating classes.

One of the most often mentioned constraints limiting the expansion of vocational education programs for the handicapped was the reluctance of teachers in regular classes to accept the handicapped, or the inability of teachers to instruct handicapped students.

Two-thirds of the training provided under the setaside programs was nonskills training, that is, training not intended to prepare students to compete in the open labor market in any given skill, craft or trade.

Half of the students enrolled in this type of training were in prevocational training. Others were enrolled in diagnostic centers, mobility training, nongainful home economics, industrial arts, tutoring and sheltered workshop programs. About 12 percent were trainables. Of those enrolled in skills training, the vast majority were in trade and industrial courses, mainly for men. The range of occupational offerings for women was extremely narrow, and was confined mainly to home economics (much of which was not gainful), and health occupations.

In half of the projects included in the project sample, at least some students were referred into work experience programs. Most of the work stations were unskilled work activities and were intended mainly to provide students with "work experience."

Only a few projects conducted a thorough assessment of the educational needs of the handicapped students referred to the program.

The case study interviews indicated that both students and parents expressed extremely favorable attitudes toward the projects in which they or their children were enrolled.

Participating employers expressed favorable attitudes toward the program. Three out of four participating employers rated the performance of handicapped students and/or completers "as good" or "better than" regular workers in each of the eight performance scales. Unlike participating employers, nonparticipating employers expressed the belief that it would be necessary to effect radical changes in their working environments if they were to hire the handicapped.

What is the Role of Federal Assistance for Vocational Education? Report to Congress by the Comptroller General of the United States:

Although expanded vocational opportunities have been made available for the disadvantaged and handicapped, persons with special needs have not been given high priority, the GAO report says. The report further maintains that vocational education programs are not responsive to changes in the labor market, have shown bias against women and do not provide adequate occupational guidance and job placement assistance. The report is based on a review of programs in seven States.

The report maintains that these States have distributed funds in a variety of ways, many of which do not necessarily result in funds being targeted to geographical areas of need, or providing for the programmatic initiatives called for by law. Some major practices noted were: making funds available to all local education agencies within a State, rather than concentrating funds in selected areas with high needs; making funds available to local agencies without adequately identifying the relative need for the program; and making funds available without considering ability of local agencies to provide their own resources.

Greater attention to systematic, coordinated planning at the national, State and local levels would improve the use of Federal funds, the report suggests. State and local plans reflect compliance rather than planning. Data that would be helpful to planning is unavailable, inadequate or unutilized, the report continues.

Practical Career Guidance, Counseling, and Placement for the Non-College-Bound Student:

This study reviewed data concerned with the practical career guidance and counseling for noncollege-bound students. The report's findings indicate that women, minority, and disadvantaged students have not obtained sufficient occupational information and assistance in relating their abilities and interests to career options. Furthermore, the overall conclusion drawn was that the guidance and counseling personnel resources generally have not been aligned to provide practical career guidance for noncollege-bound students despite national priorities and allocations of funds. Recognizing the need for realignment of the counseling services for the non-college-bound, the report recommends that 1) guidance and counseling experts provide more specific information and 2) realignment be based on a planning model that includes assessment of the priority of target groups, selection of appropriate strategies, and evaluation of efforts.

A Comparative Study of Proprietary and Non-Proprietary Vocational Training Programs:

A study of 51 proprietary and 14 non-proprietary schools in four cities examined student outcomes in four occupational areas; office, health, computer and technical occupations. About 7,000 students and 5,200 alumni were queried.

Findings indicate that 78 percent of the graduates sought training related jobs and three-quarters of these persons found training-related jobs. However, less than 20 percent of the proprietary alumni and only 13 percent of the non proprietary alumni obtained jobs through school placement service, a surpirsing result especially for proprietary schools, since virtually all offer placement assistance. Most graduates indicated satisfaction with their current job status. Of those alumni currently employed, about 34 percent of the proprietary and 12 percent of the non proprietary group felt that the training was definitely not worth the money.

Cost benefit measures indicate that the investment in vocational training was worthwhile for all occupational groups except the computer trainees in proprietary schools. Non proprietary school graduates have an advantage over proprietary school graduates in cost-benefit measures and in salary gain comparing before training to the first job in training. However, non proprietary alumni overall earned less before training than proprietary graduates. Proprietary and non proprietary schools differ substantially in their operations and program offerings; however, the students enrolled in both types of schools are very similar in terms of background and motivational characteristics. Most are young in high school graduates enrolled in full-time programs with a goal of obtaining full-time jobs. A sizeable proportion of the students (30 percent proprietary and, 42 percent non-proprietary) belong to minority ethnic groups. Accredited schools and chain schools surveyed are no more effective in placing graduates than non accredited and non chain schools. Cities surveyed include Chicago, Illinois; Atlanta, Georgia; San Francisco, California; and Rochester, New York.

Ongoing and Planned Studies:

An Assessment of Sex Stereotyping and Sex Discrimination in Vocational Programs.

This study, mandated under Section 523 (a) of the Vocational Education Act as amended under Public Law 94-482, calls for three basic tasks. Each are interrelated: (1) review of secondary data to develop baseline information on sex bias in vocational education; (2) review of key documents and literature for purposes of developing hypotheses relating to sex bias in vocational programs; and (3) the collection of primary data by means of assessments at the State, local (local education agency and/or community college district), and school levels. The study also calls for four basic reports or publications: (1) Interim report on Secondary data; (2) Final report on the Extent of Sex Discrimination and Sex Stereotyping in Vocational Education, and Extent and Quality of Attempts to Reduce or Eliminate Such Inequities, and Recommendations for Further Improvement: (3) Case Studies of Successful Programs in Reducing Sex Discrimination and Sex Stereotyping in Vocational Education Programs; and (4) Replication Handbook which will provide information on the procedures, measures and instruments which Federal, State and local administrators can use to measure progress in reducing sex bias. The handbook will contain instruments developed for the purposes of the report and explanations of any changes or revisions which should be considered to improve and simplify the process.

An Assessment of Utilization of Vocational Education Act Funds for Facility Construction:

This study will involve a comprehensive national survey of the planning practices and requirements of State and local vocational education agencies as they apply to the planning of vocational facilities and the use of construction funds under the Vocational Education Act. The major objectives are: (1) to identify State and local planning practices which appear to result in the most effective facility-construction programs and the most cost-effective use of Federal funds; (2) to determine whether provisions of current Federal legislation should be changed or expanded to provide State and local agencies with greater latitude in making efficient use of Federal school facility monies; and (3) to prepare a documentation of the capacity of existing vocational education programs provided by the public education system, to serve as a basis for projecting future demand for facilities and needs for Federal funds to support facility construction and equipment acquisition.

State Procedures and Models for Evaluating Vocational Legislation:

This project is designed to assist State Boards of Vocational Education in complying with the new legislative requirements to evaluate all programs supported with Federal funds. It will produce three evaluation models and an overall guide for the States in using evaluations to improve their programs.

The first model will be concerned with "process" and will be used in evaluating the programs being offered. The second will be a "product" model to measure the impact of programs on students in terms of knowledge, skills, and attitudes. The third will also be a product model, but this one will look at student outcomes in terms of career development. (It will provide some data similar to the new Vocational Education Data System but will also yield information in greater depth for program improvement.)

Sources of Evaluation Data:

An Assessment of Vocational Education Programs for the Disadvantaged under Part B and Part A Section 102 (b) of the 1968 Amendments of the Vocational Education Act. Olympus Research Corporation, December 1976.

An Assessment of Vocational Education Programs for the Handicapped Under Part B of the 1968 Amendments to the Vocational Education Act. Olympus Research Corporation, October 1974.

A Vocational Re-Evaluation of the Base Year Survey of the High School Class of 1972 (Part I: Selected Characteristics of the Class of 1972). Educational Testing Service, October 1974.

National Longitudinal Study of the High School Class of 1972. Educational Testing Service, June 1973. (Study under auspices of NCES)

Major City Secondary Education Systems: Class of 1970 Follow-up Survey of Vocational Program Graduates. Educational Systems Research Institute, December 1972.

Practical Career Guidance, Counseling and Placement for the Noncollege-Bound Students. American Institutes for Research, June 1973.

The Vocational Impact Study: Policy Issues and Analytical Problems in Evaluating Vocational Education; A Study of the State Grant Mechanism; and A Study of Duplication, Gaps, and Coordination of Publicly Funded Skill Training Programs in 20 Cities. National Planning Association, October 1972.

A Comparative Study of Proprietary and Non-Proprietary Vocational Training Programs. American Institutes for Research, November 1972.

National Longitudinal Surveys. Survey of Work Experience of Males, 14-24, 1966, and Survey of Work Experience of Young Men, 1968, Center for Human Resources Research, Ohio State University, and U.S. Department of Commerce Bureau of Census, 1966 and 1968, often referred to as the Parnes Study.

A Cost Effectiveness of Vocational and Technical Education. Center for Vocational and Technical Education, University of Wisconsin, 1971.

Trends in Vocational Education, OE, June 1970.

Annual State Vocational Education, Reports

Reports from State Advisory Committees

Reports from the National Advisory Committee

What is the Role of Federal Assistance for Vocational Education? Report to Congress by the Comptroller General of the United States. December 31, 1974.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Vocational Education -- Research and Training

Legislation:	**Expiration Date:**
Vocational Education Act of 1963, Part C, as amended in 1968 and as amended in 1976 by P.L. 94-482	September 30, 1977*

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1965	$ 11,850,000	$ 11,850,000
	1966	17,750,000	17,750,00
	1967	22,500,000	10,000,000
	1968	22,500,000	13,550,000
	1969	35,500,000	11,550,000
	1970	56,000,000	1,100,000
	1971	67,500,000	35,750,000
	1972	67,500,000	18,000,000
	1973	67,500,000	18,000,000
	1974	67,500,000	18,000,000
	1975	67,500,000	18,000,000
	1976	67,500,000	18,000,000
	1977	50,000,000	18,000,000**
	1978	-0-	-0-

Program Goals and Objectives:

The legislation specifies two sets of purposes; those for the funds administered by State Boards of Vocational Education and those for the funds administered by the Commissioner. The Part C funds administered by the State Boards are to be used for research; for training programs to familiarize personnel with research results and products; for developmental, experimental, or pilot programs designed to meet the special vocational needs of youth, especially the disadvantaged; for demonstration and dissemination projects; and for establishing and operating State Research Coordinating Units (RCU's).

The funds administered by the Commissioner are to be used for somewhat similar purposes: research, training programs to familiarize vocational educators with research projects and with successful demonstration projects; projects designed to test the effectiveness of research findings; demonstration and dissemination projects; development of a research base for new curricula; and identification, development, and evaluation of training programs for new careers and occupations.

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* Includes $4,452,975 for Transition Quarter.

** P.L. 94-482 consolidates this program into programs of National Significance, Part B, subpart 2 in FY 1978.

During FY 77 the Commissioner's portion of Part C funds were focused on eight priority areas. These were: (1) equal access and opportunity, (2) sex-role stereotyping and bias, (3) education and work programs, (4) adult and postsecondary vocational education, (5) curriculum management and instructional materials, (6) personnel development, (7) comprehensive systems of guidance, counseling, placement and follow-through, and (8) administration at State and local levels.

Program Operations:

Half of the appropriated funds are allocated to the States on a formula basis. The State Boards utilize these funds, in accordance with their State Plans, to award grants and contracts to institutions of higher education, local education agencies, and other public or private agencies and institutions. In addition, the States may pay for up to 75 percent of the costs of State RCU's. The remaining 50 percent of the appropriation is utilized by the Commissioner for grants and contracts. Awards are usually made on a competitive basis to the same types of intitutions and agencies as listed above.

As a result of the passage of Public Law 94-482, Title II, the operation of this program will change in FY 78. It will become part of the Program Improvement effort authorized by Section 171 of the law. This section provides discretionary funds for the Commissioner to support projects of national significance for the improvement of vocational education--including research, exemplary or innovative projects, curriculum development, guidance and counseling, personnel training, and overcoming sex bias.

Program Scope:

During FY 77, 376 applications were received for support from the Commissioner's funds. Of these, 92 projects were supported. In addition, the States initiated approximately 400 projects in a variety of areas, many related to the priorities listed earlier.

The program priority areas established for use of the Commissioner's funds reflected the participation of over 400 persons including representatives from relevant national organizations. To assist potential applicants in responding to these program priorities the AIM/ARM operation at the Center for Vocational Education at the Ohio State University, at program request, developed and made available a bibliography of information sources for each of the priority areas. In keeping with national concern and legislation, it was required that all applications effectively demonstrate plans to eliminate sex bias in all aspects of the proposed work. It was also emphasized that all applications should include plans for wide dissemination of project results, products, and outcomes. Evaluation plans that included valid instruments and rigorous procedures for assessing and documenting the impact of project results in terms of project goals and objectives were included in the technical review criteria. No application receiving less than an announced minimum score from the prescribed technical review process was funded. Applications were selected for funding in each State in the order of the technical ratings assigned by the review panels. These procedures and requirements promoted program effectiveness.

The RCU's administer the States' vocational research program and disseminate findings to administrators, teachers, counselors, and teacher educators. Many RCU's operate extensive information retrieval and dissemination systems linked to and based on the ERIC system. Other functions of the RCU's include: coordinating statewide and local evaluations, assisting in State planning activities, and coordinating State-administered Exemplary Projects under Part D of the Vocational Education Act.

This program has received the same level of funding for the 7 years ending with FY 77. Because of this fact, the scope of program effort has remained at about the same level, with minor fluctuations in the numbers of projects funded by the Commissioner and by the State Boards.

Ongoing and Planned Evaluation Studies:

None.

Sources of Evaluation Data:

Management Evaluation Review for Compliance (MERC) reports on Vocational Education State-grant programs prepared by OE's Division of Vocational and Technical Education in conjunction with USOE Regional Offices.

Annual program reports prepared by OE's Division of Research and Demonstration, BOAE, on the grant and contract projects supported by funds administered by the Commissioner to provide an overview of the purposes, expected results, and potential educational significance of the funded projects.

On-site reviews of OE-funded projects, reviews of their progress reports, evaluative reviews of their final reports of products and findings, and third-party evaluations of projects.

Assessing Vocational Education Research and Development
National Academy of Sciences. Washington, D.C. October, 1976.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Vocational Education -- Exemplary Programs

Legislation:	**Expiration Date:**
Vocational Education Act of 1963, Part D, as amended in 1968 and as amended in 1976 by P.L. 94-482, Part B, subpart 2	September 30, 1977*

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1969	$ 15,000,000	$ -0-
	1970	57,500,000	13,000,000
	1971	75,000,000	16,000,000
	1972	75,000,000	16,000,000
	1973	75,000,000	16,000,000
	1974	75,000,000	16,000,000
	1975	75,000,000	16,000,000
	1976	75,000,000	16,000,000
	1977	20,000,000	16,000,000**
	1978	-0-	-0-

Program Goals and Objectives:

The legislative intent for this program is to reduce the continuing high level of youth unemployment. The Act further specifies program purpose as that of stimulating new ways of creating bridges between school and employment for young people who; (a) are still in school, (b) have left school either by graduation or by dropping out, or (c) are in postsecondary programs of vocational preparation. Additional purposes are the promotion of cooperation between public education and manpower agencies and the broadening of occupational aspirations and opportunities for young people, especially those who have academic, socioeconomic, or other handicaps.

Program regulations, policy papers, and guidelines have further defined this program so that the federally-administered, discretionary projects have been major contributors to the national thrust in career education. The career education techniques and instructional materials emerging from the first 3-year cycle of Part D discretionary projects provide input to the design and development of the National Institute of Education's School-Based Career Education Model. In addition, these

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* Includes $2,000,000 for Transition Quarter.

** P.L. 94-482 consolidates this program under Programs of National Significance, Part B, subpart 2 in FY 1978.

Part D projects serve as demonstration sites within each State and provide operational examples of career eduction functioning in local settings.

In a number of States, such as Florida, Georgia, Illinois, Kansas, Oregon, and Texas, a systematic, statewide plan has already been formulated for the development and diffusion of vocational exemplary projects. These plans provide for coordination through the State Reseach Coordination Unit (RCU), which is supported under Part C of the Vocational Education Act. These Statewide plans generally use the discretionary Part D projects as a focal point for career education model-building. The plan then involves diffusion of tested vocational exemplary projects to other school districts throughout the State, utilizing State-administered Part D and Part C funds and funds from other sources (such as the Appalachian Regional Commission) to assist school districts in adapting and implementing the exemplary vocational education projects.

Program Operations:

Fifty percent of the appropriation is reserved by the U.S. Commissioner of Education for discretionary grants or contracts to support projects carried out in the States. The remaining 50 percent is allocated to the State Boards for Vocational Education for use in the same manner. Funds reserved by the Commissioner are available until expended and funds allotted to State Boards are available for 2 fiscal years.

The federally administered discretionary projects are distributed geographically across the States, as required by law, with at least one project in operation in each State. The typical project is funded at a level of about $130,000 per year for a 3-year period, with the exact amount determined by formula. Funds appropriated in fiscal years 1970, 1971, and 1972 supported the first 3-year cycle of projects, most of which began in the Spring of 1970 and ended in the Spring of 1973. The third major 3-year cycle began in 1976 and will end with 1978 funding.

As a result of the passage of Public Law 94-482, Title II, the operation of this program will change in FY 78. It will become part of the Program Improvement effort authorized by Section 171 of the law. This new section provides discretionary funds for the Commissioner to support projects of national significance for the improvement of vocational education--including research, exemplary or innovative projects, curriculum development, guidance and counseling, personnel training, and overcoming sex bias.

Program Scope:

Federally-administered FY 77 funds were used to initiate 10 new projects either replicating the Experienced-Based Career Education model or utilizing its techniques with occupational cluster programs or with cooperative vocational programs. FY 77 funds were also used to continue 44 projects into their second year of funding and 11 projects into their third and final year. Among the projects going into their second year were 30 initiated in FY 76 which also replicated the Experienced-Based Career Education program. This program, which was developed and field tested by the National Institute of Education, was approved by the Joint Dissemination Review Panel of the HEW Education Division.

State-administered FY 77 funds were used to initiate or continue about 400 projects. Although no specific analysis has been made, it is estimated that slightly more than 50 percent of these projects were again focused on career education.

Program Effectiveness and Progress:

An evaluation of the projects funded in the first 3-year cycle was completed in FY 75. The basic rationale of the study was that an evaluation of first-cycle projects would lead to improved implementation of the program during subsequent years and would help local districts to replicate successful activities. Since the Part D effort was closely associated with early efforts in career education, it was also expected that the information obtained would assist in further defining and operationalizing this concept. The findings of this study presented a mixed picture with respect to program impact. While some projects showed significant student outcomes, the findings of the study indicated that the program had not had the desired national impact. In general, these findings were attributed to a lack of clearly defined objectives, definitions, managerial requirements, and procedures at both the Federal and local levels. To correct these problems, a number of steps have been initiated by program managers. These include a redefinition of criteria for selection of new grantees, increased monitoring of project activities, and the development of an evaluation guide to help grantees assess their own activities.

Results of third-party evaluations of each project are received annually by local project directors who were asked to use the Handbook for the Evaluation of Career Education to improve their evaluations beginning in 1974. Annual interim reports now being received by the U.S. Office of Education reflect an improvement in evaluation quality over the reports received in previous years, and there is an increasing interest in continuing to improve.

Ongoing and Planned Evaluation Studies:

None.

Sources of Evaluation Data:

An Evaluation of Vocational Exemplary Projects, Washington, D.C. Development Associates, Inc., 1975.

Management Evaluation Review for Compliance (MERC) reports on Vocational Education State-grant programs prepared by the OE Division of Vocational and Technical Education in conjunction with OE Regional Offices.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Vocational Education - Consumer and Homemaking Education

Legislation:

Vocational Education Act of 1963, as amended in 1968, Part F, Consumer and Homemaking Education; and amended by P.L. 94-482, Part A, Subpart 5

Expiration Date:

September 30, 1982

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1968		
	1969		
	1970	$ 25,000,000	$ 15,000,000
	1971	35,000,000	21,250,000
	1972	50,000,000	25,625,000
	1973	50,000,000	25,625,000
	1974	50,000,000	30,994,000
	1975	50,000,000	35,994,000
	1976	50,000,000	40,994,000
	1977	45,000,000	40,994,000
	1978	55,000,000	40,994,000

Program Goals and Objectives:

The Vocational Education Act of 1963 and Part F of the Vocational Education Amendments of 1968 provide formula grants to States for programs and services in Consumer and Homemaking Education. The allotments to States are to be expended solely for:

> (1) education programs which (a) encourage home economics to give greater consideration to social and cultural conditions and needs, especially in economically depressed areas, (b) encourage preparation for professional leadership, (c) are designed to prepare youths and adults for the role of homemaker, or to contribute to the employability of such youths and adults in the dual role of homemaker, and wage earner, (d) include consumer education programs and promotion of nutritional knowledge and food use and the understanding of the economic aspects of food use and purchase, (e) are designed for persons who have entered, or are preparing to enter, the work of the home, and (2) ancillary services, activities and other means of assuring quality in all homemaking education programs, such as teacher training and supervision, curriculum development, research, program evaluation, special demonstration and experimental programs, development of instructional materials, provision

of equipment, and State administration and leadership. This program will continue under the 1976 amendments as authorized by Part A, subpart 5.

Program Operation:

States reported that 3,283,857 students participated in programs funded under Part F for Consumer and Homemaking during FY 1975. Of these 1,093,650 were in depressed areas. About 2,562,306 were in secondary schools; 25,970 were in postsecondary; and 695,581 were adults.

States must use at least one-third of the Federal funds allocated for programs in economically depressed areas or areas with high rates of unemployment. Fifty percent matching is required except in economically depressed areas or areas with high rates of unemployment where matching is 90 percent Federal and 10 percent State and/or local.

Program Effectiveness and Progress:

States report expansion of programs and increased programming for consumer education, nutrition education, parenthood education, child development and growth of enrollments in depressed areas. However, no objective evidence of effectiveness of this program is available.

Ongoing and Planned Studies:

The National Institute of Education is planning a study as mandated under Section 523(b), (1), (f) of the Vocational Education Act as amended by Public Law 94-482.

Sources of Evaluation Data:

Annual State Vocational Education Reports

Descriptive reports submitted by State Department of Education, State Supervisors of Home Economics Education

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name

Vocational Education - Cooperative Vocational Education Programs

Legislation	Expiration Date
VEA of 1963, as amended 1968, Part G, as amended by P.L. 94-482	September 30, 1977 1/

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1968		
	1969	$20,000,000	-0-
	1970	35,000,000	$14,000,000
	1971	50,000,000	18,500,000
	1972	75,000,000	19,500,000
	1973	75,000,000	19,500,000
	1974	75,000,000	19,500,000
	1975	75,000,000	19,500,000
	1976	75,000,000	19,500,000
	1977	25,000,000	19,500,000
	1978	-0-	-0-

Program Goals and Objectives

The 1968 Amendments to the Vocational Education Act provide funds, under Part G, to assist States in expanding cooperative work-study programs by providing financial assistance for personnel to coordinate such programs, to provide instruction related to the work experience; to reimburse employers when necessary for certain added costs incurred in providing on-the-job training through work experience; to pay costs for services such as transportation of students or other unusual costs that the individual students may not reasonably be expected to assume while pursuing a cooperative program.

The program will be consolidated under the State grant authority under the 1976 amendments to begin in FY 1978.

Program Operations

Formula grants are made to the States to support cooperative education programs which involve arrangements between schools and employers, enabling students to receive vocational instruction in the school and related on-the-job training through part-time employment.

1/ States may continue to fund cooperative programs under Basic State grants, but P.L. 94-482 does not extend authority for the categorical setaside.

Priority is given to areas where there is high incidence of student dropouts and youth unemployment. Students must be at least 14 years old and are paid by the employer either a minimum wage or a student-learner rate established by the Department of Labor. Federal funds may be used for all or part of a State's expenditure for programs authorized and approved under State Plan provisions.

Part G, cooperative vocational education programs, have extended the range of occupations for which training can be offered, to such areas as marketing and distribution, business and office, trade and industrial, and health occupations. In addition, there was emphasis on developing cooperative education programs for small communities which cut across several occupational fields in one program setting. Students could prepare for specific areas of gainful employment which were not available previously because of insufficient enrollment or lack of facilities to support specialized vocational programs. Most of the new programs were developed in areas with high rates of school dropouts and youth unemployment.

Program Scope

During FY 1975, States reported 152,981 students as enrolled in cooperative programs under Part G. Of these, an estimated 120,396 were secondary students and 32,585 were postsecondary students. In addition, States fund cooperative education programs under Part B basic grant authority. For example, States reported that 581,071 students were enrolled in cooperative programs during FY 1975. Data for FY 1976 were not available at the time this report was prepared.

Program Effectiveness and Progress

Cooperative Education programs are effective in providing students with work experience in jobs which are related to their occupational training programs. Cooperative programs also appear to give students some advantage over those who did not participate in work experience programs at the time of the first job after graduation in terms of earnings.

Part II of the Assessment of School-Supervised Work Education Programs completed during the summer of 1976 had two major purposes: (1) to assess the effectiveness of cooperative education programs located in urban areas, and (2) to determine the post-program experiences of both participants and nonparticipants interviewed in Part I of the study.

The follow-up study consisted of re-interviews with 803 participants in work education programs and a cohort group of 701 nonparticipants who were first interviewed in 1973 during Part I of the study. The Part I participants were enrolled in three types of work programs: (1) specific (or the equivalent of cooperative education programs); (2) dropout prevention (such as work-study); and (3) career exploration.

As can be expected, postsecondary students did significantly better than secondary students in terms of earnings and job satisfaction. Both groups experienced about the same amount of employment stability, based on the average number of weeks worked over the 52 weeks prior to the second interview.

Students participating in secondary programs were more likely to be working if they were males. At the postsecondary level there was no difference found in the percentage of males and females holding jobs.

Postsecondary students who were members of minority groups reported current jobs more often than nonminorities; the opposite was true at the secondary level.

Within all programs, men earned more per week on the average than women. Both participating and nonparticipating students were stratified by program type, general occupation classification (both current and school job), and finally by sex. The findings reveal that men start with an earnings advantage while still in their training programs, regardless of general areas of occupational experience.

In all comparisons involving weekly earnings, the great impact of participation in work education programs appeared to be on the postsecondary programs. Whites and blacks and men and women who participated in such programs out-earned comparison group cohorts in all cases.

The trends identified in the follow-up study were validated for those responding to the National Longitudinal Followup of the Class of 1972. Specifically, males earned more than females and whites earned more than blacks.

To measure satisfaction with jobs currently held, those interviewed were asked a series of questions focusing on satisfaction with pay and fringe benefits, working conditions, challenge and opportunities. Measures of job satisfaction with current jobs suggest the following: Participating students in postsecondary specific occupations programs expressed more positive attitudes toward their jobs than their nonparticipating counterparts. The least satisfied group on the basis of the average of their job satisfaction was those who participated in secondary dropout prevention programs. Whites and blacks did not differ significantly in their expressed levels of job satisfaction. Men and women also expressed about similar levels of satisfaction with their current jobs across educational levels and types of programs.

An examination of 30 urban cooperative programs indicates that high percentages of minorities participate in work education programs which differ from the traditional cooperative programs in which class work is closely related to the student jobs. In urban areas, most programs included students receiving classroom instruction in general occupational areas and working in a variety of different jobs within occupational clusters. Others were enrolled in diversified programs in which students received world-of-work training in the classroom and were placed in a variety of jobs, not necessarily related to their majors in school or within any specific occupational cluster. While some diversified programs appeared to be income maintenance programs, the better ones provided opportunities for career exploration.

Outcomes for the diversified programs were lower than those for traditional cooperative programs. For example, completion rates were lower, fewer of the students interviewed said that their jobs were related to career interests, fewer students were likely to recommend the program to friends. However, more students with low grades are looking for full-time jobs than those with A and B grades.

Although many of the diversified programs are not as well developed as the more traditional cooperative education programs, there is general consensus that they can be strengthened with further inservice training programs for the coordinators to improve their management. Diversified programs often provide service jobs, but the better programs provide jobs in business or industrial concerns such as advertising, aerospace and banking in which disadvantaged students might not ordinarily seek jobs.

The "Assessment of School-Supervised Work Education Programs, Part I" examined the different configurations of work education programs to determine the degree to which different types of programs are meeting their intended objectives and to suggest ways in which different programs might be modified or expanded. A stratified random sample of 50 work education sites was drawn from 500 representative programs using three variables as the basis for the stratification. The 50 were distributed as follows on the basis of those variables determined as most relevant:

Education level:	Secondary (36), postsecondary (14)
Primary purpose:	Specific occupational training (30*), dropout prevention (14), career exploration (6)
Industrial setting:	Farming region (15), bedroom community (11), single industry area (9), major industrial/business career (15)

According to the study findings from Part I, cooperative education programs appear to be generating the most enthusiam among students, employers, and school officials because they meet the expressed needs and objectives of all groups. Students feel that cooperative education programs are providing them with valuable job training. Employers feel that they are getting their money's worth from student workers and are contributing to their profession. School administrators and teachers are satisfied with the learning experiences and job placements after the training period.

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* Specific occupational training programs are generally those funded under Part G. Findings relating to work-study (or dropout prevention) programs were funded under Part H of the 1968 Amendments.

Cooperative education programs are more likely than other types of programs to: (1) provide students with job-related instruction in school; (2) provide job placement services and have a high rate of job-related placements; (3) help students decide on an occupation; and (4) provide students with jobs that fit into their career plans, offering a high level of responsibility and a high degree of satisfaction.

But there are some negative findings compared with other types of programs. Cooperative programs are (1) more apt to discriminate against students on the basis of student attitude; (2) less effective in reducing student absenteeism; (3) more apt to interfere with students' other activities in school and out; (4) more apt to segregate job placements by sex, and (5) more likely to restrict their offerings to students with rather conforming middle-class behaviors.

Effectiveness comparisons were based on standard follow-up information provided by the schools. In addition, a brief survey of employers was conducted to obtain their attitudes about graduates of cooperative programs versus graduates of non-cooperative programs. Although school data indicated no obvious difference in the work experience of the two groups, the employer survey showed a definite difference. The sample of employers favored graduates of co-op programs (59 percent over those of non co-op), (4 percent non-co-op with 37 percent indicating no difference). School data indicated that the co-op students have little difficulty finding jobs and that a substantial percentage of co-op students (46 percent) were able to continue full-time employment with their co-op employer.

Ongoing and Planned Evaluation Studies

None

Sources of Evaluation Data

An Assessment of School-Supervised Work Education Programs, Part II Olympus Research Corporation, March 1976.

An Assessment of School-Supervised Work Education Programs. Part I Systems Development Corporation, October 1973.

Cost Effectiveness of Selected Cooperative Vocational Education Programs as Compared with Vocational Programs without Cooperative Component. Battelle Columbus Laboratories, June 1973.

Annual State Vocational Education Reports

State Advisory Committee Reports

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name

Vocational Education - Work Study Programs

Legislation

VEA of 1963, as amended
1968, Part H

Expiration Date

September 30, 1977 1/

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1965	$ 30,000,000	$ 5,000,000
	1966	50,000,000	25,000,000
	1967	35,000,000	10,000,000
	1968	35,000,000	10,000,000
	1969	35,000,000	-0-
	1970	35,000,000	4,250,000
	1971	45,000,000	5,500,000
	1972	55,000,000	6,000,000
	1973	55,000,000	6,000,000
	1974	55,000,000	7,849,000
	1975	55,000,000	9,849,000
	1976	55,000,000	9,849,000
	1977	15,000,000	9,849,000
	1978	-0-	-0-

Program Goals and Objectives

As mandated under Part H, a work-study program shall be administered by the local education agency and made reasonably available (to the extent of available funds) to all youths in the area served by such agency who are able to meet the following requirements:

> (1) youths who have been accepted for enrollment as a full-time student in a vocational education program which meets the standards prescribed by the State Board and the local education agency for vocational education programs assisted under this title, or in the case of a student already enrolled in such a program, is in good standing and in full-time attendance; (2) is in need of the earnings from such employment to commence or continue his vocational education program, and (3) is at least 15 years of age and less than 21 years of age at the commencement of his employment, and is capable, in the opinion of the appropriate school authorities, of maintaining good standing in his vocational education program while employed under the work-study program;

1/ State may continue to fund work-study programs under basic State grants, but P.L. 94-482 does not extend authority for this categorical setaside.

(2) provided that no student shall be employed under such work-study program for more than 15 hours in any week in which classes in which he is enrolled are in session, or for compensation which exceeds $45 in any month or $350 in any academic year or its equivalent, unless the student is attending a school which is not within reasonable commuting distance from his home, in which case his compensation may not exceed $60 in any month, or $500 in any academic year or its equivalent;

(3) provided that employment under such work-study program shall be for the local education agency or for some other public agency or institution. Agencies must also provide for employment for students other than those funded under this title.

Program Operation

Formula grants are allocated to the States for work-study programs to assist economically disadvantaged full-time vocational educational students, ages 15-20, to remain in school. The programs provide part-time employment with public employers. Priority is given to areas having high dropout rates and high youth unemployment. Funds are used for the administration of the program and for compensation to students by the local educational agencies or other public agencies or institutions. Funds are allocated on a matching basis -- 80 percent Federal and 20 percent State and local.

Work-study is essentially an income maintenance program for economically deprived youth who are in school. Only about 2 percent of the Federal funds is used for administration; nearly all funds, about 99 percent, go directly to needy students in the form of wages for a public service job.

New legislation continues to provide authority for States funding work-study programs, but consolidates the various categorical programs, including Part H, to give the States greater flexibility in planning and program operation.

Program Scope

During FY 75 States reported 47,980 students were employed in part-time jobs and received compensation under Part H. Of these, 39,690 were secondary and 8,290 postsecondary students. Data for FY 1976 was unavailable at the time this report was prepared.

Most of the recipients are secondary students. Since compensation cannot exceed $45 a month, most postsecondary students must look elsewhere for the financial support they need. Typical positions held by work-study students included: food service worker, clerk typist, hospital aide, printing assistant, drafting assistant, furniture repairer, and small-engine repairer.

Program Effectiveness and Progress

Work-study programs appear to meet their basic objective, which is to keep students in school by providing them with financial assistance, according to the "Assessment of School-Supervised Work Education" study. (The study is further described in the section relating to Cooperative Education Programs.) After completing training, most of the men go into well paying ($149 per week average) jobs. Women go into service and clerical jobs which pay less ($95 per week average).

In the Part II study, work-study students indicate that they continue to earn slightly less, be less satisfied with their jobs and have slightly less employment stability than those who participated in single occupation (or cooperative) programs. The difference in earnings between secondary students in cooperative education and work-study students can probably be attributed to the fact that the latter are more likely to have jobs after high school in lower paying clerical jobs and service occupations than those participating in cooperative programs. Results from an analysis of similar students participating in work education programs in the National Longitudinal Study of the Class of 1972 support these findings.

Part I of the study described above indicates that while many work-study programs have additional goals such as improving the disadvantaged youth's attitudes toward school and work, very little attempt is made to offer students related classwork or intensive vocational training. Students are placed primarily in unskilled blue collar and clerical jobs. Only 6 percent of the cooperative education students were in the lowest category of the job responsibility scale whereas 75 percent of the work-study education students were in this category.

Analysis of pay factors indicate that students in work-study programs are more likely than students in any other type of program to earn at best the minimum wage. Work-study students work primarily for money, as compared with cooperative education students who indicated that getting occupational training experience was more important than pay.

Ongoing and Planned Evaluation Studies

None

Sources of Evaluation Data

An Assessment of School-Supervised Work Education Programs, Part II, Olympus Research Corporation, March 1976

An Assessment of School-Supervised Work Education Programs, Part I Systems Development Corporation, September 1973

Annual State Vocational Education Reports

State Advisory Council Reports

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Vocational Education -- Curriculum Development

Legislation: **Expiration Date:**

Vocational Act of 1963, Part I, as amended in 1968 and as amended in 1976 by Public Law 94-482

September 30, 1977*

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1969	$ 7,000,000	$ -0-
	1970	10,000,000	800,000
	1971	10,000,000	4,000,000
	1972	10,000,000	4,000,000
	1973	10,000,000	6,000,000**
	1974	10,000,000	4,000,000
	1975	10,000,000	1,000,000
	1976	10,000,000	1,000,000
	1977	5,000,000	1,000,000
	1978	-0-	-0-

Program Goals and Objectives:

Part I of the Vocational Education Act of 1963, as amended, authorizes the Commissioner to make grants to or contracts with colleges and universities, State boards and other public or nonprofit private agencies and institutions for curriculum development in vocational and technical education. No matching funds are required.

The Curriculum Development Program provides national leadership and assistance to State and local educational agencies in the development of curriculum for new and changing occupations and coordinates improvements in and dissemination of existing curriculum materials, including materials produced by the Department of Defense and other agencies of the Government. Through open competitions, projects are selected for the development and evaluation of instructional materials and systems; coordination of the efforts of the States and Federal Government in developing and diffusing validated materials to local schools and colleges; the improvement of competencies of personnel responsible for curriculum management and preparation; and the development of standards for individualized and competency-based materials for use in instructional programs preparing youth and adults for entry and advancement in diverse vocational and technical occupational fields.

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* Two million dollars were impounded in FY 73 and released in FY 74.

** P.L. 94-482 consolidates this program under Program of National Significance, Part B, subpart 2 of FY 1978.

Program Operations:

In FY 77 high priority in project competitions was given to the validation and dissemination of materials already developed under previous Federal awards. The following four projects resulted:

1. An 18-month contract to field test, revise and make available two sets of course materials for Entrepreneurship Training. One prepares high school students for decisions about owning a small business. The other provides training at postsecondary and adult levels for minorities entering or holding positions in small business management.
2. A 12-month contract for the trial implementation of a model system to provide military curriculum materials for use in vocational and technical education. The model system was designed following an agreement between the U.S. Office of Education and the Department of Defense and will be tested in four northwestern States for cost efficiency, effectiveness, and linkages necessary for outreach to local districts.
3. An 18-month contract to field test in postsecondary, industry and adult programs the first-year technical specialty courses and to develop the second year teaching/learning modules in a Quality Assurance/Quality Control Technician (Nuclear Plant) Curriculum. The first year courses had been developed as part of a nuclear reactor operator trainee program.
4. A 12-month contract to develop a guide to decision-making about priorities for bilingual vocational curriculum development and to design a model for instructional materials preparation. The project includes a survey of materials and practices, by language and age groups, of training programs conducted under provisions of Part J, P.L. 93-380.

Implementing improved curriculum efforts through coordination and diffusion at the State level also was given emphasis in FY 1977. Six Curriculum Coordination Center grant awards were made to foster effective management of curriculum resources available to National and State decision-makers and to minimize duplication in curriculum development activities. In addition a small award was made for the purpose of bringing together selected State directors for vocational education for deliberations about the need, scope and networks of communications which exist for curriculum coordination, diffusion and demonstration of innovative materials and practices.

Federal leadership in vocational education curriculum is also an important function of the Curriculum Development Program. This role is carried out by providing advice and technical assistance to State, University, and local instructional personnel; preparing exhibits and informative articles; maintaining liaison with the military services and curriculum organizations such as the Vocational Instructional Materials Section of the American Vocational Assosication and the Association of Educational Communications and Technology; analyzing legislative authorities and programs and administrative priorities for vocational curriculum implications; coordinating with communications and diffusion networks of other Bureaus and agencies; and fostering productive relationships with publishers, the Government Printing Office and curriculum consortiums.

As a result of the passage of Public Law 94-482, Title II, the operation of this program will change in FY 78. It will become part of the Program Improvement effort authorized by Section 171 of the law. This section provides discretionary funds for the Commissioner to support projects of national significance for the improvement of vocational education -- including research, exemplary or innovative projects, curriculum development, guidance and counseling, personnel training, and overcoming sex bias.

Program Scope and Effectiveness:

The Curriculum Development Program has addressed all six purposes specified in the authorizing legislation. In addition, within these purposes there have been special target audiences and national issues which have had attention. Examples of the scope of such projects monitored over the last five years are:

	Awards	Funds
. New and emerging occupationa	8	$3,791,697
. Special populations	10	2,205,432
. Career exploration & guidance	7	1,631,625
. Military-related	2	361,480
. Postsecondary/adult	14	2,959,358
. Coordination/dissemination	17	1,628,672

No formal evaluation of the curriculum development program has been made. However, there are other indicators of effectiveness of funded projects. Examples of these are:

- Demand for program's products. The Government Printing Office has had to reprint nine teacher and student guides in Arts and Humanities; a career exploration guide in Marketing and Distribution; and eight student and teacher guides in the Construction Industry Series. GPO has also elected to print and offer for sale 14 new guides in Occupational Home Economics and Manufacturing Occupations.

- State curriculum dollars saved through searches and materials dissemination by Curriculum Coordination Centers. Three centers have reported savings in seven States amounting to $298,000 in FY 1977.

- Requests from States and local school districts for curriculum information and materials. The six Curriculum coordination Centers have disseminated 130,000 curriculum items, made 800 curriculum searches, and assisted in the establishment of 28 State Resource Centers. Thirteen States have reported adopting/adapting Center-diffused curriculum materials.

- Sales of copyrighted materials. Over 30,000 copies of Laser/Electro-Optics Technology modules have been sold and $10,000 in royalties have been returned to the U.S. Government. The manual, Placement Services, has sold 1500 copies in a seven-month period and royalties returned are over $515 for the period.

- Adoption/adaption of materials. Six colleges and universities in California and Colorado have implemented materials developed for the training of Vocational Education Curriculum Specialists, and one university is using the format and development process as a model for establishing other educational programs.

- Depleted supply of program materials listing. Over 4,000 copies of a 17-page listing of Federally-developed curriculum materials in vocational and technical education have been distributed on request. The listing provided availability information on hard copy and microfiche.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

Technical reports from projects.

Government Printing Office records.

Site-visit and technical-assistance reports by program staff and monitors.

Field reviewer assessment reports.

Special reports on impact from Curriculum Coordination Centers.

Management Evaluation Review for Compliance (MERC) reports on Vocational Education State-Grant Programs prepared by the OE Division of Vocational and Technical Education in conjunction with OE Regional Offices.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Vocational Education - Bilingual Vocational Training

Legislation:	Expiration Date:
Vocational Education Act of 1963, as amended by P.L. 93-380 Part J, 1974; as amended by P.L. 94-482, Part B, subpart 3	September 30, 1982

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1975	$17,500,000	$ 2,800,000
	1976	17,500,000	2,800,000
	1977	10,000,000	2,800,000
	1978	60,000,000	2,800,000

Program Goals and Objectives:

Grants and contracts under Part J may be used for (1) bilingual vocational training programs for persons who have completed or left elementary or secondary school and who are available for training by a postsecondary educational institution; (2) bilingual vocational training programs for persons who have already entered the labor market and who desire or need training or retraining to achieve year-round employment, adjust to changing manpower needs, expand their range of skills, or advance in employment; and (3) training allowances for participants in bilingual vocational training programs subject to the same conditions and limitations as are set forth in section III of the Comprehensive Employment and Training Act of 1973. The program will continue under the 1976 amendments as authorized by Part B, Subpart 3.

Program Operation:

Under this authority, the Commissioner contracts with appropriate State agencies, local education agencies, postsecondary institutions, private non profit vocational training institutions especially created to serve a group whose language is other than English, for the purpose of supplying training in recognized occupations and new and emerging occupations. The Commissioner may also enter into contracts with private for-profit agencies and organizations to assist them in conducting bilingual vocational training programs.

Program Scope:

Twenty-two projects funded in FY 1977 are located in 13 States and are providing training for 1475 persons. The projects serve persons whose native languages are Spanish, French, Chinese, Russian and several Indian languages. Project sponsors include State agencies, institutions of higher education, area vocational schools, local educational agencies and community-based agencies. The essential aspect of a bilingual vocational training program is that training is conducted both in English and the dominant language of the participants. Trainees acquire sufficient competence to enable them to perform satisfactorily in a work environment where English is used.

Training is offered in a number of skill areas in including: food services, dental assistants, graphic reproduction, construction trades, clerical skills, printing, auto mechanics, home heating, small engine repair, housing maintenance and repairs, para-legal, para-accounting, and general office skills.

Program Effectiveness and Progress:

Projects funded under the Part J authority have generally reported high placement rates. Further outcome measures will also be used to measure the effectiveness of the programs in a continuing effort to meet the reporting and evaluation requirements of the Act.

Data prepared for the mandated report, The Status of Bilingual Vocational Education, indicate that persons from non-English backgrounds have significantly less educational attainment than those from the total population. Bureau of Census data from the Survey of Languages, completed in 1975, indicate that about 19 percent of the total population aged 19 or older have completed only the eighth grade or less. Those from households whose usual language is non-English, from the same age group, report that 58 percent have completed only the eighth grade or less. The largest group, those from Spanish-speaking backgrounds, have an unemployment rate more than 5 percent greater than those from English backgrounds.

The Census survey did not identify those from limited English speaking backgrounds but reported data from population groups which included those who had language and comprehension problems.

An inventory of bilingual vocational training programs for adults within the 50 States identified 98 programs in 21 States. Approximately 13,000 students are enrolled at any given time in bilingual programs which provide occupational training in nearly 400 courses. Thirty-eight percent of the programs are in California and 81 percent are in eight States: California, New York, Texas, Arizona, Pennsylvania, New Mexico, Connecticut and Massachusetts.

An examination of the literature, evaluation reports, research and other available data surfaces some issues to be considered in providing bilingual vocational training for adults but little data directly relating to the results of such programs.

Planned and Ongoing Studies:

The Status and Impact of Bilingual Vocational Training.

To meet the reporting requirements under Part B, Subpart 3 of the Vocational Education Act as amended by Public Law 94-482, this study has four major objectives. It will provide information about the characteristics of limited English-speaking participants in bilingual vocational programs and will determine how such programs impact on the trainees. From interviews with the students while enrolled in occupational training programs and again about 12 months later, the study will provide data on what happens to participants, whether they obtain training-related jobs, or whetehr such programs increase their earning power and enhance career progression. The study must address the issue of whether participation in the program results in improved English skills and job skills which the trainees need to become employable. The study will determine the various ways the bilingual vocational training program may impact on the labor market and to assess whether such programs are training participants for skills needed within the applicable labor markets. The study will also develop criteria which may be useful for administrators to assess the effectiveness of bilingual vocational training programs. Two interim reports and the final report will provide information on work completed at designated phases of the study to make input into the annual reports submitted for approval by the Commissioner and the Secretary of Labor as specified in the Act.

Sources of Evaluation Data

Status of Bilingual Vocational Training, a mandated report by the Commissioner of Education and the Secretary of Labor to the President and the Congress, December 1976.

Assessment of Bilingual Vocational Training, Kirschner Associates, Albuquerque, New Mexico, August 1976.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Adult Education -- Grants to States

Legislation:

P.L. 91-230, as amended by
P.L. 93-380, Title VI, Part A
P.L. 94-112, Extension for 1 year

Expiration Date:

September 30, 1979

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1965	(Under Econ. Opp. Act)	$ 18,612,000
	1966	(" " " ")	20,744,063
	1967	$ 40,000,000	29,200,000
	1968	60,000,000	40,250,000
	1969	70,000,000	45,000,000
	1970	160,000,000	50,000,000
	1971	200,000,000	55,000,000
	1972	225,000,000	61,300,000
	1973	225,000,000	85,000,000
	1974	150,000,000	63,485,000
	1975*	150,000,000	67,500,000
	1976	175,000,000	71,500,000
	Transition Qtr.	-0-	71,500,000
	1977	210,000,000	80,500,000**
	1978	210,000,000	90,750,000

Program Goals and Objectives:

The purpose of this program, as stated in the legislation, is "to expand educational opportunity and encourage the establishment of programs of adult education that will enable all adults to continue their education to at least the level of completion of secondary school and make available the means to secure training that will enable them to become more employable, productive, and responsible citizens."

The legislation also mentions specifically: (1) service to institutionalized persons, not to exceed 20 per centum of the funds available to the State for adult basic and secondary programs, (2) cooperation with manpower development and training programs and occupational education programs and coordination with other programs including those for reading improvement, (3) utilization of amounts not to exceed 20 per centum of the State allotment for programs of equivalency for a certificate of graduation from a secondary school, and (4) assistance to persons of limited English-speaking ability by providing bilingual adult education programs to the extent necessary to enable these persons to progress through the Adult Education Program and coordination of these efforts with programs of bilingual education offered under Title VII of ESEA and the Vocational Education Act.

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* In 1975 the Appropriation Act included funds for both 1975 and 1976, placing this program on an advance funding basis.

** Advance funding for FY 78.

The Act also requires that, of the funds allotted to a State, not less than 15 percent be used for special projects and for training adult education personnel, but this was changed to 10 percent by the Education Amendments of 1976. In addition, the Act specifies that a clearinghouse on adult education be established and operated for the purpose of collecting and disseminating public information pertaining to the education of adults. Another goal of the Act is to encourage the use of State Advisory Councils in Adult Education, since these are authorized and the qualifications for members are specified.

The Rules and Regulations for State Adult Education Programs, published in the Federal Register on April 23, 1975, quote the Law concerning the general purpose of the Program. They also make provisions for the other goals mentioned in the Law.

Program Operations:

This program is operated through formula grants made to States for the education of adults, defined as persons who are 16 or more years of age and who (1) do not have a certificate of graduation from a school providing secondary education and who have not achieved an equivalent level of education, and (2) are not currently required to be enrolled in school. Local school districts submit plans and proposals to the State education agency which makes the funding decisions. Ten percent of the total cost of any program must be covered by the State and/or local education agency, with up to 90 percent covered by Federal funds allocated to the State. (For the Trust Territory of the Pacific Islands the Federal share may be 100 percent.)

The program Rules and Regulations specify that each State shall prepare an annual program plan which must be submitted to the U.S. Commissioner of Education through the Assistant Regional Commissioner for Occupational and Adult Education and received in the appropriate HEW Regional Office on or before the last day of the fiscal year preceding that for which funds are sought. This annual plan must be revised each year to reflect proposed activities for the ensuing fiscal year and must be submitted to the U.S. Commissioner for approval in accordance with the requirements set forth in the General Education Provisions Act. The information in the plan must be in sufficient detail to enable the Commissioner to determine whether the provisions of the Act and the Regulations are being administered efficiently and to determine whether and to what extent substantial progress is being made with respect to all appropriate segments of the adult population in need of adult education.

In addition, the program shall describe procedures to be used for conducting an annual evaluation of all activities carried out in the year for which funds are sought. These include specific criteria to be used in assessing the effectiveness of the program or project. The evaluations are to be conducted either by the State agency or by "other parties." Copies of any reports of such evaluations are to be sent to the Commissioner, and results submitted annually with the financial status report.

The Program Rules and Regulations (April 23, 1975) discuss the establishment of national priorities in adult education. They state that the Office of Education will review and identify annually, for the guidance of State educational agencies, national priorities in the field of adult education. State educational agencies may take these priorities into consideration in developing their annual program plans. The areas suggested for fiscal year 77 are: (1) Dissemination in Adult Education, (2) Adult Performance Level Implementation (APL), (3) Role of the Employer in Adult Learning, (4) Education Programs for the Elderly and (5) Eliminating Sex-Role Stereotyping.

Program Scope:

The group on which this program has focused consists of over 52.5 million adults aged 16 years or over who have not completed and who are not currently enrolled in high school. Within this group special emphasis is directed toward approximately 15 million adults with less than 8 years of formal education.

A new perspective on those to be served has resulted from a study entitlted "Adult Functional Competency" which was completed in 1975 by the University of Texas for the Office of Education. The study was designed to measure accurately the educational needs of U.S. adults in terms of performance level criteria derived from the concept of functional competence. A representative sample survey showed that 63.2 million adults between ages 18 and 65 lack the competencies needed to meet everyday requirements. Of this number, 23.2 million are so seriously deficient as to be functionally incompetent or "illiterate" in functional terms. Since the completion of the study, the Division of Adult Education has conducted an extensive campaign to acquaint State and local education programs with the results of the study. In February 1976 the U.S. Office of Education sponsored a national conference of State Directors of Adult Education and other State and local personnel to promote new programs in response to the APL study findings. More than 80 percent of the adult education State programs have since identified APL-related competency education as a priority for special development.

The American College Testing Program (ACT) has received a contract authorizing revision of the national APL survey items. This will facilitate adult competency assessment at both State and school district levels. Two instruments are now available, one dealing with adult competencies and the other for use with high school students. Additional diagnostic instruments for each of the APL knowledge areas will be available from ACT in December 1977.

Among those eligible to be served by the State Grant program are the approximately 750,000 public school students who drop out each year and who are therefore eligible to participate. There are also about

400,000 immigrants arriving each year, a substantial number of whom need bilingual instruction as well as instruction in English as a second language in order to function as citizens in the United States.

Allotments to States are based on the number of resident adults who have not completed high school. The allotments to the individual States and territories in FY 75 ranged from $123,695 to $5,925,791. The average allotment was $1,276,786. It remained the same in FY 76.

During FY 76 there were more than 1.65 million participants in adult education programs receiving Federal funds through the State Grant program. Of these, about 30.5 percent were enrolled in courses described as English as a second language. There were 8 percent who were in institutions -- hospitals, prisons, etc. Of the total number of participants approximately 55 percent were females. Within the total group 35 percent were unemployed, and 9 percent were on public assistance rolls. States also reported that about 8 percent received certificates of completion at the 8th grade level, 7 percent passed the General Education Development Test, and 7 percent enrolled in some other educational program as a result of having been enrolled in the adult basic or secondary education program.

The planning phase of the adult education clearinghouse (ADELL -- Adult Education and Life-Long Learning) was done under contract with the Systems Research Company from July 1975 to January 1976. The second phase, which focused on design, was carried out under contract with Northern Illinois University from September 1976 to March 1977. The third phase, the operation of Clearinghouse ADELL, will begin with a contract to be awarded in October 1977 for a period of 12 months. It will provide a query-answering service early in 1978.

Program Effectiveness and Progress:

In October 1977 the Division of Adult Education analyzed data received from 53 States reporting on the accomplishment of program objectives for fiscal year 76. The purpose was to assess States' progress in providing improved and more effective learning opportunities for disadvantaged adults. Many States reported the achievement of goals such as the following:

1. States increased the recruitment and retention of hard-to-reach adults most in need of basic (grades 1-8) educational services. Extensive recruitment campaigns were launched, the most successful of which included door-to-door canvasing, advertisements via the media and referrals from community organizations and social agencies. Special demonstration projects and staff development programs focused on effective methods and techniques for reaching and retaining this population of adults. Cooperative arrangements were established with agencies in order to provide support services (health, child care, etc.). New programs were established in poverty areas both in inner cities and in rural communities.

2. Improvements in the operation, administration, and evaluation of local programs was emphasized in Statewide workshops for local administrative personnel. State coordinators visited local programs on the average of two or three times during the year to verify enrollments, compliance with adult education Federal and State legislation and regulations, and the achievement of objectives established by local directors.

3. States expanded the number of adult education classes through increased cooperative arrangements with agencies and organizations such as Community Education, CETA, Health Services, Social Services, churches, correctional and mental institutions, and community action agencies. New adult learning centers were started, classes were provided in area vocational centers, instruction was offered via television and mobil vans, and new programs were established, many with satellite classes in rural communities or other areas with small scattered numbers of adults needing services.

4. States increased efforts to improve the quality of instructional services through special demonstration and staff development projects. Projects either trained personnel or developed curriculum or instructional methodology in the areas of life-coping skills, adult high school and APL concepts, and volunteer tutorial training in reading and mathematics.

Efforts to improve the quality, outreach, and effectiveness of program services can be seen in increased enrollments and retention. Although States emphasize adult basic education, the demand for GED preparation is growing more rapidly.

In November 1973 a study entitled Longitudinal Evaluation of the Adult Basic Education Program was completed for the Office of Education by Systems Development Corporation. The purpose was to evaluate the effects of the ABE Program on its priority group -- adults from ages 18 to 44 years with less than 8 years of schooling. Beginning in mid-1971 information was collected on the effectiveness of ABE in improving literacy, raising earnings, and increasing intangible personal benefits. Data were gathered across a variety of programs, and a representative sample of participants was studied over an 18-month period through a series of interviews and basic skills tests. (The test battery consisted of selected portions of the Test of Adult Basic Education.)

The sample included 2,300 students in 200 classes, 90 programs, and 15 States. Average scores on initial tests showed achievement at the fifth grade level for reading and at the sixth for mathematics. Four months later the sample was retested. Mean grade level gains between tests were half a grade for reading and three-tenths of a grade in mathematics. Over one-fourth of the students gained a full grade or more in mathematics. On the other hand, approximately one-third of all students made no gain at all or even lost ground during the four-month interval.

Most ABE classes met in school buildings 2 evenings a week from September through May. The average class session was about 3 hours. Enrollment in classes in November 1971 ranged from 3 to 80, with an average of 16 students per class. Students generally had very positive opinions about their ABE experiences and their improvement in reading, writing, and mathematics. Most of them gave ABE credit for job and earnings improvements. However, extensive statistical analyses of the data did not indicate any clear or convincing relationships between program characteristics or classroom methods and the differential gains students made in earnings and in academic achievement.

In June 1975 the Comptroller General of the United States released a report to the Congress on OE's Adult Basic Education Program: Progress in Reducing Illiteracy and Improvements Needed. This report, which looked at the program since its inception in 1965, points out that earlier only eight States operated any significant adult basic education programs. In 1965, according to OE figures, there were 19 States and 37,991 students participating in the Federal program. "Two years later all fifty States, the District of Columbia, and five territories conducted adult basic education classes. In Fiscal Year 1972, more than 820,000 adults attended the adult education programs, 44,560 evenings and 14,713 daytime classes. By 1973 enrollment had risen to nearly 850,000 and OE expected enrollment to reach one million in 1974." Recent reports show an enrollment of 1,221,210 adults in FY 75.

The report concludes:

> Since it began in 1965, the Adult Basic Education Program has expanded educational opportunities by establishing broadly available programs for those adults who want to continue their formal education through completion of the 8th grade and in some cases through high school. Although the Adult Education Program has had positive achievements as currently funded and operated it is successfully reaching only a small fraction of those needing it -- particularly among the more educationally deficient.

In February 1976 a final report was received on a project carried out by Kirschner Associates, Inc. This study, An Analysis of Selected Issues in Adult Education, attempted to define needs for various types of adult education; to describe current responses to that need at Federal, State, and local levels; to identify and analyze differences between need and response; and to identify and explore alternative roles (policies) for the Federal government. The project defined five different types of adult education -- basic, secondary, job-related, functional, and personal development.

The study was based entirely on secondary data sources including Census, NCES adult participation data, OMB Federal program descriptions, and bibliographic information. Economic and social analyses were made for each of the five types, the need was defined, and the participation data analyzed. General information on the supply of programs was noted, and a comparison was made of the need and the supply.

Among the policy issues discussed are: (1) federal financial support for adult education, (2) varying emphasis on different types of adult education, (3) focusing on different target groups such as women or older persons, (4) delivery systems for adult education, (5) federal legislation, and (6) further research and evaluation in adult education. Among the more provocative conclusions presented for further discussion at the Federal level are the following:

1. Development of the nations' human resources through adult education is accorded a very low national priority as measured by the Federal financial support received.

2. After looking at all five types of adult education, one concludes that Federal emphasis should be selective in order to serve a population that has an unmet need or to achieve a particular purpose. There appears to be limited utility in such broad policy as that "everyone should be literate." While complete literacy is desirable it is not likely to be achieved. Further as social and economic conditions change, one must anticipate that relative emphases among the five types of adult education will change. This suggests a policy of flexible administration to answer adults' current needs.

3. It is evident that each group in society has some legitimate claim to public support for its participation in adult education. This conclusion suggests that no one should be denied entirely some public support and that the balance among claimants for support must continually be adjusted to reflect current societal conditions and needs.

4. Delivery systems in adult education are pluralistic, and their variety should be maintained. Selecting one or two delivery strategies for official sanction does not seem appropriate on the basis of available data. It may well be that the pluralistic and often competitive nature of the system will result in the provision of programs that are sensitive to the many different needs of adults.

5. The data suggest that the legislative variety that exists today may serve a useful purpose in preserving the pluralistic approach and in providing for the differing needs of heterogeneous groups of adults. Thus a major overhaul of Federal adult education legislation is probably not required at this time.

Ongoing and Planned Evaluation Studies:

Evaluation of State Grant Program planned for FY 78

Sources of Evaluation Data:

Annual State Performance and Financial Reports

Regional Office Reports on Site-Visits to Programs and State Departments

HEW Reports on State Program Audits

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Career Education

Legislation:

P.L. 531, 83rd Congress, as
amended. P.L. 93-380, Section 402
and Section 406*

Expiration Date:

September 30, 1978

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1975	$ 15,000,000	$ 10,000,000
	1976	15,000,000	10,135,000
	1977	15,000,000	10,135,000
	1978	15,000,000	10,135,000

Program Goals and Objectives:

Section 406 establishes as policy that: (1) When every child has completed secondary school, he should be prepared for gainful or maximum employment and full participation in society according to his or her ability, (2) local educational agencies have an obligation to provide such preparation for all students, and (3) each State and local agency should offer programs of career education which provide a wide variety of options designed to prepare each child for maximum employment and participation. It is the purpose of Section 406 to assist in achieving these policies through the following activities:

1. Developing information on needs for career education

2. Promoting a national dialogue which will encourage State and local agencies to determine and adopt the best career education approach for children they serve

3. Assessing the status of career education programs and practices, including a reassessment of stereotying of career opportunities by race or sex

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* During FY 75 this Program operated under the authority of the Cooperative Research Act. During FY 76 it operated under the Special Projects Act, Public Law 93-380, Section 402. Under the latter Act, half of the Special Projects funds go directly to the Commissioner for use in contracts and the other half go to the programs named in that Act, one of which is Career Education. For FY 77 the program received $7 million from the Commissioner's share of the funds, which must be used for contracts, and $3,135,000 as one of the special programs, which funds may be used for grants under Section 406.

4. Providing for demonstration of the best current career education programs and practices by developing and testing exemplary programs and practices based on varying theories

5. Providing training and retraining of persons to conduct career education programs

6. Developing State and local plans for implementing career education programs

In addition to its stated purpose of authorizing the implementing activities mentioned above, the law also: (1) set up a National Advisory Council on Career Education; (2) established an Office of Career Education within the U.S. Office of Education; (3) authorized the Commissioner to make grants to State and local educational agencies, institutions of higher education, and other nonprofit agencies and organizations for demonstration projects; (4) authorized the Commissioner to make grants to State educational agencies for State planning projects; and (5) mandated a survey of career education. (This survey was completed and forwarded to the Congress in May 1976.)

Program Operations:

Applications for demonstration projects and for State planning projects are received from eligible agencies and institutions in the field. Those to be funded are selected by review panels on the basis of criteria having to do with the following: (1) evidence of need, (2) practicability and measurability of objectives, (3) quality of operational plan, (4) interaction between education and the world of work, (5) quality of evaluation plan, (6) extent to which project is exemplary, (7) quality of personnel, and (8) extent to which the budget is reasonable.

In addition to evaluating the effectiveness of her/his project and determining the extent to which the objectives were accomplished, each applicant is responsible for providing a final report on his/her efforts and for incorporating a plan to disseminate information to others during the course of the project as well as at the conclusion of the grant period.

Program Scope:

FY 77 funds were used to support 139 career education projects covering six categories of activities. The first five categories consist of 86 demonstration projects in K-12 programs, senior high school and beyond, methods and techniques for special groups, teacher training, and communicating career education concepts. The sixth category consists of 53 projects to develop State plans for career education.

The average grant for a demonstration project is approximately $88,000 and the average for a State planning project is $47,000. There are demonstrations in almost every State and planning projects in all States and territories except Louisiana and Samoa.

Program Effectiveness and Progress:

Section 406 of P.L. 93-380 gave as its purpose the implementation of stated Career Education policies through six specified activities. Evidence is available of substantial progress in all of the first five activities. Work in the sixth activity, developing State and local plans, was authorized for FY 76 and FY 77 only, according to the law, and this has also been largely accomplished.

The Office of Career Education has established within its Offices a library consisting of approximately 3,000 pieces of non-commercial material on career education. These curricula, workbooks, teacher training outlines, etc., have been sent in by practitioners across the country. All materials have now been indexed according to a classification scheme which provides an indexed card for each piece with 40 key descriptors, including items related to sex and race stereotyping.

In 1975 the Office of Education issued a policy paper, An Introduction to Career Education, which provided OE's first comprehensive conceptual statement on Career Education. There were six additional concept papers in FY 75, four in FY 76, and eight in FY 77. In addition, the Office of Career Education issued 13 booklets dealing with a variety of other topics. All of these publications contribute to the stated intent of the law concerning the promotion of a national dialogue on Career Education, as do the 66 "mini-conferences" held to date.

Technical assistance in evaluation as a means of improving program effectiveness was first provided by OCE to the directors of local projects through an evaluation handbook. It was developed by the Office of Planning, Budgeting, and Evaluation under a contract with Development Associates, Inc. This how-to-do-it publication grew out of an evaluation of prototype career education projects supported under Part D of the Vocational Education Act. It was field-tested during FY 75, and the final version, Evaluation and Educational Decision-Making: A Functional Guide to Evaluating Career Education, was widely distributed in FY 76.

Additional technical assistance was provided to 15 career education demonstration sites through a contract awarded to the National Testing Service of Durham, North Carolina. This project, which will end in September 1977, will provide, in addition to improved evaluation at 15 sites, an evaluation training procedure and manual, refined instrumentation to measure career education effectiveness, and a model which can be used by other demonstration sites.

Further attention to improving program effectiveness is found in the fact that each director of a new demonstration project attends a conference at which a major block of time is devoted to the problem of designing an adequte evaluation for her/his particular project. In addition, two "mini-conferences" have been held on evaluation in career education. The results have been published in a monograph entitled Perspectives on the Problem of Evaluation in Career Education.

Two special analyses of evaluations already completed by individuals in the field were made by OCE staff members. In May 1977 OCE issued the publication Career Education and Basic Academic Achievement: A Descriptive Analysis of the Research, which looks at the effects on basic skills, in this case reading and mathematics, when career education is infused throughout the curriculum. Thirty-eight studies were examined. Of the 38, there were 19 which offered positive evidence that career education was associated with increased academic achievement in students. There were 15 studies which were moderately supportive of that proposition, and four studies indicated that there was little or no effect. The second publication, which also appeared in May 1977, was A Preview of Career Education Evaluation Studies. It examined a wide range of evaluations having to do with career awareness and career decision-making and found several studies which reported that older students who had participated in career education projects achieved gains in occupational information, attitudes toward work, career maturity, knowledge of the world of work, and reality about their career planning. Findings were similarly positive. Students who had participated at the elementary and secondary levels were better able to make decisions which required analysis of their own abilities, of occupational roles, and of the relationship of self to career plans.

Ongoing and Planned Evaluation Studies:

The Office of Career Education is financing a new project to be conducted by the Office of Planning, Budgeting, and Evaluation. A contract for the "Identification of Evaluated, Exemplary Activities in Career Education (K-12)" has been awarded to the American Institutes for Research in Palo Alto, Calfornia. Starting in August 1977, this effort will make a nationwide search for evaluations which show positive effects of career education activities and will analyze them in order to identify those activities which can meet the Education Division's standards for dissemination. The project will also provide a discussion of the problems encountered in evaluation by local project staff and will offer solutions as well as models for evaluating specific types of career education activities which are popular but have been found difficult to evaluate.

Sources of Evaluation Data:

Project reports from grantees (Interim reports of January 1977 and final reports of September 1977).

Synthesizing Career Education Evaluation Results. New Educational Directions, Inc. Crawfordsville, Indiana. April 1977. (Grant #G007604329)

Career Education in the Public Schools, 1974-75: A National Survey. American Institutes for Research. Palo Alto, California. May 1976. (Contract #OEC-300-750-245)

J. Evaluation of Developmental Programs

The programs grouped under this broad category are generally regarded as resource development programs and programs that deal with special problems, although these groupings are not very precise. Included are: Teacher Training Programs, the Right To Read Program, Library Programs, Indian Education, Educational Television, and those listed under the Special Projects Act, Title IV, P.L. 93-380 (Metric Education, Gifted and Talented Children, Community Schools, Consumers' Education, Women's Equity in Education, and Arts in Education).

Teacher Training

With the exception of Teacher Corps, most teacher training programs were being phased out during FY 76 because of the surplus of teachers. Teacher Corps itself is being redirected from the training of new teachers to retraining those who are already teaching. Sections 151 and 153 of the Education Amendments of 1976, however, added new authorizations for teacher training which may be implemented in future years.

In the area of Teacher Training, a study of graduates of the sixth cycle of Teacher Corps has been completed. The study shows that Teacher Corps graduates were superior to control group teachers on many of the teacher performance varaibles desired by Teacher Corps. The Teacher Corps graduates were most different from control group teachers in terms of (a) developing ethnically relevant curricula, (b) using community resources in teaching and initiating contact with parents, and (c) having positive attitudes about reading development and causes of poverty in the society.

These variables reflect a special concern about low-income minority group children on the part of Teacher Corps. However, there were no differences in such areas as being a change agent in the school or the interaction between teacher and pupils in the classroom, as assessed by the teacher performance measures used in the study. Further, there were no significant differences between Teacher Corps and control group classes on any reading measure, despite a greater emphasis on reading instruction and academic subject matter on the part of control group teachers in grades 2-3. Teacher Corps graduates, however, were able to bring about changes in a child's self-concept that were significantly greater than changes brought about by control group teachers. These changes consisted of observed expressions of greater happiness and greater self-worth in the classroom, and better scores on important subscales of the Piers-Harris self-concept scale.

Educational Television

Because OE has not had a clear definition of the Federal role in education television programming, a planning study was initiated.

Among the more important findings was that the common OE practice of limiting grants to 3 years is counter productive. It was found wasteful to pay the tremendous start-up costs of a high-quality purposive television series for a single broadcast season, and then withdraw support to fund other projects. A fair market trial can take 4 to 5 years. Experience at the Children's Television Workshop (CTW) indicates that it takes 1 to 2 years just to prepare a major purposive series for national distribution, and then it takes 2 to 3 years of promotion and remake to determine how well it can do in the marketplace, and whether or not it can develop convinving levels of consumer demand for continued services. A limited-channel distribution system can only accept a limited number of series. These few should be well-funded in the first place, and funded for a sufficient length of time to provide a fair market trial. At present there is no apparent policy answer to the question of continuing support in case an experimental series succeeds.

In the area of support for educational broadcast facilities, one research project, "Areapop II," is currently underway. This project is designed to link accurate information on 300 planned and existing public TV stations' signal coverage patterns with demographic information on the population within coverage areas. The study will also allow for follow-on simulation activity which will predict how given changes in a station's transmission facilities will affect a station's coverage. Output from the study will include signal coverage contours plotted on acetate overlays and overlaid onto maps, corresponding demographic information, and all computer software documentation. Results will be used by OE for legislative planning and budget justification, by the Educational Broadcast Facilities Program for program planning, and by key TV station managers for facilities planning.

Another study currently in progress will assess the viewership of the ESAA-TV program and determine quatitatively the size and composition of the program's audience. A third study to be awarded in FY 77 will examine the production, distribution, and financing of ESAA-TV programs and identify obstacles to broadened or increased viewership. A fourth study, now under consideration, would assess impact by measuring cognitive and affective changes among viewers of ESAA-TV programs. These later studies do not directly include programs funded by the Educational Television Program; however, due to similarity of projects funded (i.e., purposive children's television), it is expected that a portion of the results of these later studies will provide program guidance and direction to the Educational Television Program.

The Right-To-Read Program

This has been a catalytic, demonstration program intended to stimulate a national effort to eliminate functional illiteracy. As such, there was and is expectation that it would have impact beyond the level normally expected for a program of its size. It is anticipated that this general strategy will be continued in the future.

Library Programs

Recent studies have indicated that Federal library programs have been successful in delivering library services to special target groups and that the Federal programs have stimulated State, local and private support both for public and school libraries. The studies have also indicated that the Federal presence has been important in providing coordination and direction to State and local efforts.

Indian Education

P.L. 93-380 enacted an expanded Indian education program. Most efforts so far have focused on implementation including the development of regulations and the establishment of a data base and information system. A current study is examining the effectiveness of the efforts to implement the program of support to LEAs (IEA, Part A).

Special Projects

Section 402 of P.L. 93-380 created the Special Projects Act which authorized the Commissioner to carry out special projects through grants and contracts:

(1) to experiment with new educational and administrative methods, techniques, and practices;

(2) to meet special or unique educational needs or problems; and

(3) to place a special emphasis on national educational priorities.

The following programs were included under the Act:

A. Education for the Use of the Metric System of Measurement

A program to encourage educational agencies and institutions to prepare students to use the metric system of measurement

B. Gifted and Talented Children

A program for the education of gifted and talented children through grants to the States for such purpose

C. Community Schools

A program of grants to local educational agencies to assist them in planning, establishing, expanding, and operating community education programs

D. Career Education

A program to promote a national dialogue on career education, assess its status, provide for demonstrations of the best programs, and develop State plans for implementing career education in the public schools

E. Consumers' Education

A program of grants and contracts designed to provide consumer education to the public

F. Women's Equity in Education

A program of grants and contracts designed to provide educational equity for women in the United States

G. Arts in Education Programs

A program of grants and contracts designed to assist and encourage the use of the arts in elementary and secondary school programs. With the exception of the Career Education Program, which is discussed above under Occupational Programs, none of these programs have been evaluated because of their newness. However, there is a mandated study in process of sex discrimination in education. This is being carried out by the National Center for Educational Statistics. In addition, a mandated study of the Community Schools Program currently conducted by the Office of Planning, Budgeting, and Evaluation is currently underway. It will be completed in the early spring of 1978.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Teacher Corps Program

Legislation:

Part A of the Education Professions Development Act (Title V of the Higher Education Act of 1965 (P.L. 89-329) as amended) and P.L. 93-380, Title V, Section 511-514.

Expiration Date:

FY 1979

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1966	$ 36,100,000	$ 9,500,000
	1967	64,715,000	11,324,000
	1968	33,000,000	13,500,000
	1969	46,000,000	20,900,000
	1970	80,000,000	21,737,000
	1971	100,000,000	30,800,000
	1972	100,000,000	37,435,000
	1973	37,500,000	37,500,000
	1974	37,500,000	37,500,000
	1975	37,500,000	37,500,000
	1976	37,500,000	37,500,000
	1977	50,000,000	37,500,000
	1978	75,000,000	37,500,000

Program Goals and Objectives:

The purposes of Teacher Corps as stated in the legislation are to strengthen the educational opportunities available to children in areas having concentrations of low-income families, to encourage colleges and universities to broaden their programs of teacher preparation, and to encourage institutions of higher education and local educational agencies to improve programs of training and retraining for teachers and teacher aides by --

(1) attracting and training qualified teachers who will be made available to local educational agencies for teaching in such areas;

(2) attracting and training inexperienced teacher interns who will be made available for teaching and inservice training to local educational agencies in such areas in teams led by an experienced teacher;

(3) attracting volunteers to serve as part-time tutors or full-time instructional assistants in programs carried out by local educational agencies and institutions of higher education serving such areas;

(4) attracting and training educational personnel to provide relevant remedial, basic, and secondary educational training, including literacy and communication skills, for juvenile delinquents, youth offenders, and adult criminal offenders; and

(5) supporting demonstration projects for retraining experienced teachers and teacher aides serving in local educational agencies.

This last goal, reflecting changes introduced by the 1974 amendments, broadens the Teacher Corps mission in two significant aspects. First is the inclusion of specific authority for the retraining of experienced teachers and teacher aides. Second, each Teacher Corps project will emphasize the demonstration of new programs and practices which emphasize the linkages between preservice and inservice and which involve the total faculty of a site school. Typical program elements include flexible models of teacher education based on performance criteria; the development of collaborative decision-making procedures assuring parity to the participating college or university, community served by the project, and local educational agency; the development of a community component which seeks to lessen the distance between the institutions and community by providing educational services beyond the school walls and involving parents in the classroom program; the demonstration of a major teacher training thrust or framework (CBTE, multidisciplinary, research based, etc.) for the demonstration of an integrated program of training and retraining; and an emphasis on the improvement of the management function within the cooperating agencies for the delivery of educational personnel and retraining services.

It is important to note that in the coming year (FY 78) Teacher Corps goals and objectives will be expanded to include demonstration of training and retraining programs for all educational personnel in grades K-12, in institutions of higher education, and in communities served by these programs. These demonstration programs will be implemented over a 5 year grant period. Planning to meet this broader, more inclusive mandate has been in process during FY 77.

Program Operations:

Teacher Corps awards grants to an institution of higher education and a local educational agency, either of which may be the prime grantee, to cooperatively mount and operate a project which will be managed collaboratively. The project governance structure includes representatives of the community served by the project. Awards are currently made each year for a 2 year project duration, subject to satisfactory performance during the first year and negotiations of the second year budget. Projects operate more or less independently, receiving guidance from the program specialist assigned monitoring responsibility within the Teacher Corps office, and submitting quarterly reports of progress. Geographically contiguous projects are organized into "networks," seeking to find cost-beneficial and efficient ways to meet mutual needs for improving management for communication and services. Teacher Corps also supports various technical and developmental services to assist projects. These include several recruitment, technical assistance, and referral centers, annual national conferences and staff training effort, and a Corps Member Training Institute, providing a single site preservice experience for all new interns and team leaders.

Program Scope:

During Fiscal Year 1977 the Teacher Corps had 117 operational projects. These projects were located in 109 school districts, 108 institutions of higher education, 6 State Departments of Education, including Guam and Puerto Rico, for a total of 223 project sites. In addition, 58 new projects were funded in 55 IHE's, 57 school districts, and one State Department of Corrections. Teacher Corps projects, through differentiated staffing and individualized instructional activities, directly affected the learning experience of approximately 700,000 children. Approximately 80 percent of these children were from elementary schools. Projects impacted on special clientele groups such as bilingual children (25 projects), Indian children (9 projects), and children in correctional institutions (11 projects). Teacher Corps also supported a special program which encouraged high school and college students, parents and other community residents to serve as tutors or instructional assistants for children in disadvantaged areas.

Program Effectiveness and Progress

1. An Assessment of Teacher Corps (August 1970). The purpose of this study was to determine the extent to which Teacher Corps was achieving its stated goals and objectives, and to attempt to identify program characteristics that contribute to success or failure. Ten sample projects were evaluated according to the extent to which 45 process objectives (based on seven general legislative goals) were being met, and according to measures on six dichotomous structured program variables. Data collection consisted of on-site interviews with project participants and questionnaires. Results indicated that Teacher Corps was successful in meeting only some of its goals. Progress had been made in recruiting highly motivated student teachers and placing them in schools serving low-income areas, thus providing more instructional services to the community. However, there was little evidence that the more ambitious legislative goals were being achieved. For example, increased cooperation among school districts, universities, and communities being served appeared to be short-term, and Teacher Corps practices were not being adopted by cooperating universities.

2. Louisville, Kentucky, Cycle V Project (June 1971). The major thrust of this project was to strengthen educational opportunities in inner-city schools by training 100 Teacher Corps interns to become working partners on 10 member teaching teams. Three to 6 teaching teams in each of six elementary schools were composed of one experienced coordinating teacher (team leader), another experienced teacher (staff teacher), four Teacher Corps interns, two paraprofessionals, and student teachers when available. Each team instructed approximately 100 children in an open learning environment.

During the first year of the Cycle V Teacher Corps project, only 17 percent of the elementary classes (grades 2-6) in project schools had an increase of 0.7 years or more in the total reading achievement mean. But, in the second year of the project this percentage had more than tripled to 54 percent of the classes having an increase of 0.7 years or more. The percentage indicating a year or more of growth advanced from only 4 to 18 percent.

Other significant advantages resulting either totally or partially from this Teacher Corps project include:

1. a lowered pupil-teacher ratio by using differentiated staffing

2. increased individualization of instruction and increased programs for children with special needs

3. improved pupil attitude toward school and self-concepts according to pre- and post-test data

4. more creativity and innovation in the schools due to the wide range of background of Corps members

5. an expanding behavior modification program (Swinging Door) initiated by Cycle V interns to encourage students to remain in the School System

6. neighborhood school boards as an integral part of local school decision-making

7. closer communication and cooperation between universities and the school district

8. development of a 10-year plan for spreading team teaching and differentiated staffing in the District

3. Assessment of the Teacher Corps Program (July 1972) The Comptroller General's Office issued a report to the Congress in July 1972 concerning the assessment of the Teacher Corps program made by the General Accounting Office (GAO). The study consisted of a review of Teacher Corps projects at seven institutions of higher education and the respective participating local education agencies. Also, a questionnaire was sent to all Corps members in the Nation

who had completed their internships in 1968 and 1969. A total of 550 responded to the questionnaire. The findings and conclusions are grouped according to the two major program purposes as follows:

> Strengthening educational opportunities
>
> The GAO found that the program strengthened the educational opportunities for children of low-income families who attended school where Corps members were assigned. Corps members provided more individualized instruction, used new teaching methods, and expanded classroom and extracurricular activities. Some of the Teacher Corps approaches to educating children were continued by the school districts after Corps members completed their assignments. Other approaches were discontinued because the school districts either had not determined their usefulness or did not have sufficient staff and financial resources to carry them on. Corps members generally became involved with various types of educational community activities which most Corps members believe had been a benefit to both children and adults. Some believed, however, that the activities were of little or no benefit due to poor planning and lack of community support. A majority of the interns who graduated from the program remained in the field of education. Most of these interns took teaching positions in schools serving low-income areas.
>
> Broadening teacher-training program
>
> The GAO study indicates that the program had some success in broadening teacher preparation programs at institutions of higher education. All seven institutions made some changes in their regular teacher preparation program as a result of the Teacher Corps. Most interns believed that their academic course-work was relevant to their needs. The impact of the program was lessened, however, because much of the special curriculum was not made available to non-Teacher Corps students and because institutions had not identified teaching approaches and techniques that would warrant inclusion in their regular teacher preparation programs.

4. Full-Scale Implementation of a Process Evaluation System for Programs of NCIES (December 1972). As part of a study which developed and then used a process evaluation system to examine all 12 NCIES programs, participants in 63 Teacher Corps projects responded to mailed survey instruments. The major conclusion drawn from this study was that while the Teacher Corps projects had performed fairly well in terms of operating within program guidelines, there were some areas that stood out as meriting attention by program specialists. The academic training offered to interns, for

example, was much more inflexible than desired by the program staff. Only 31 percent of the total course-work was open for negotiation by interns, with 69 percent required by the college or project. This finding is considerably different from the 50-50 balance established as a program goal. In addition, interns perceived a lack of communication among groups within a project and cited this as the major problem area for the program. A further area of concern was in the level of involvement of many advisory councils and of the community in general in project operations. One example was that in 26 projects, advisory councils met quarterly or semiannually. Finally, considerably more projects emphasized change in college training programs as opposed to change in the school systems.

5. Innovation and Change: A Study of Strategies in Selected Projects Supported in NCIES (December 1972). This study focused on the extent to which and the manner in which innovations are implemented by institutions and incorporated into educational practice. Designed to provide policy relevant information, the expressed purpose of the study was "to provide programs a framework for helping to determine the most favorable mix of project organization, innovation strategy and training content for reaching the desired goals." Data were collected in two Teacher Corps sites through week-long visits, resulting in a case study report of each site. In addition, rating scales, based upon literature or change theory, were used for cross-site analysis of selected project characteristics.

While the case studies were quite comprehensive and open, they were not used in discussion of study results, or in the recommendations. The results from the rating scales formed the basis for these activities, yet they did not substantiate important, policy-oriented differences between Teacher Corps projects and the other types of projects. There were, however, two findings which were corroborated in the case studies:

(1) Innovation and change in educational practice took hold best when the organizational structure of the project related closely to implementing an innovation and

(2) When decision-making personnel in the LEA part of the project were involved and convinced of the value of the project's goals, change was likely to occur.

6. A Study of Teacher Training at Sixth Cycle Teacher Corps Projects (February 1975). A major study of the impact and effectiveness of Teacher Corps was begun in July 1972. This was a two-phase comprehensive study which concentrated attention and evaluation measurement of program performance in terms of the ultimate student performance goal. The study focused on analysis of the impact of the program as measured by three major dimensions -- institutional change, enhanced teaching skills and behaviors, and improved classroom learning by students taught by Teacher Corps

interns and graduates. Twenty Sixth Cycle elementary school projects participated in the study. Phase I of the study was completed in June 1974. Phase II was completed in December 1974.

The objective of Phase I of the study was to identify and analyze those combinations of intern background characteristics and training program characteristics that are related to desired teaching skills and attitudes of interns at the end of their training (exit characteristics). Data were collected at 20 Sixth Cycle Teacher Corps projects. The 20 projects represent all of those that prepared interns as elementary school teachers during the period 1971-75. Data about the training program at each site were obtained by interviews with and completed questionnaires from 11 groups of project personnel. Data about intern teaching characteristics were obtained from a 50 percent stratified random sample of interns (sample N=369) through classroom observations and interns' weekly logs on their professional activities. All data about the training programs for interns and the teaching characteristics of interns were gathered in the spring of their second year of teaching.

The conclusions drawn from Phase I of this study are:

1. Background characteristics and training program characteristics were not good predictors of an intern's exit teaching skills and attitudes; however, to the extent that such relationships are upheld, it is the Teacher Corps training program that is most closely associated with his exit teaching skills and attitudes

2. The training program characteristics most closely associated with intern exit teaching skills and attitudes are:

    a. aspects of competency based teacher education, such as the pattern of collaborative decision-making, and the degree of personalization of the program for interns

    b. the degree of program integration, e.g., follow-up of course-work in public school setting

    c. the community component for interns

3. For black, Chicano, or white interns studied separately, there were discernible patterns of relationship between intern background characteristics, Teacher Corps training program characteristics, and intern exit teaching skills and attitudes. For example, the community component of the training program for Chicano and white interns was directly related to the ability of these interns to communicate effectively with pupils. Such a relationship did not hold for black interns.

Phase II of the study was designed to compare 100 first-year teachers who were Teacher Corps interns with other young teachers in terms of teacher performance and growth. Pupils of all teachers in Phase II were given an achievement test in reading and an attitude test, measuring self-esteem, in the fall and spring of the 1973-74 school year. In addition, classroom observation was carried out to assess both teacher behavior and pupil behavior. The basic purposes of Phase II were:

1. to assess the effectiveness of Teacher Corps graduates in working with low-income/minority group children and

2. to assess patterns of relationship between teacher background, teacher education program, teacher behavior and pupil learning and growth variables.

The conclusions drawn from Phase II of the study are:

1. Teacher Corps graduates were superior to control group teachers on many of the teacher performance variables desired by Teacher Corps projects, e.g., developing ethnically relevant curricula, using community resources in teaching and initiating contact with parents, positive attitudes about reading development, and causes of poverty in society.

2. There was no difference between the two groups of teachers in terms of (a) their perception of the importance of bringing about educational change in the school, and (b) in reading gains of pupils despite a greater emphasis on reading instruction on the part of control group teachers in grades 2-3.

3. Teacher Corps graduates were able to bring about changes in a pupil's self-concept that were significantly greater than changes brought about by control group teachers.

4. Teacher Corps graduates who facilitated both high reading gains and improved self-concept tended to be teachers who brought about changes in the school and who initiated contact with parents.

5. No teacher background characteristics or Teacher Corps program variables were significantly correlated directly with pupil reading gain. A number of Teacher Corps program variables, however, were significantly correlated with pupil self-concept growth and other pupil variables. The consistent pattern of relationship between most pupil variables and Teacher Corps program characteristics strongly

suggests that teacher training does make a difference on pupil behavior in the classroom and on related teacher performance.

7. Limitations of a Standard Perspective on Program Evaluation: The Example of Ten Years of Teacher Corps Evaluations (April 1977)
This recent paper addresses the problems associated with using a generally standard approach for evaluation of an educational program by reviewing the history of evaluation of Teacher Corps. The three major reasons for choosing Teacher Corps were: (1) Teacher Corps has had a long history of change and re-direction in its policy and guidelines, thus making it possible to look at the extent to which evaluation studies have affected policy decisions; (2) the complexity of Teacher Corps has provided a challenge to evaluators over the years; and (3) the field of teacher education is in need of greater understanding based upon empirical findings.

The paper reviews six varied evaluation studies, and argues that the methodologies used, even when applied in quite creative studies, did little to influence program policy decisions. The points discussed in this paper merit attention and discussion before future evaluations of Teacher Corps are undertaken.

In discussing the six studies, the paper suggests that the results and recommendations stemming from the studies were too often untimely or irrelevant to budget legislative, or program management decisions. For example, the study of the 6th Cycle Teacher Corps was directed at assessing the effectiveness of intern preservice training. By the time the study was completed, Teacher Corps had changed its focus to a training program for experienced teachers. Thus, the 6th Cycle Study will aid future Teacher Corps policy decisions only as they may relate to the continued preservice component of Teacher Corps.

Ongoing and Planned Evaluation Studies

Teacher Corps projects under broadened program goals and new program regulations will begin their 5-year grant periods in early summer 1978. Since this would be an appropriate time at which to begin a longitudinal study of these projects, discussions are currently being held to determine the nature and scope of an evaluation study.

Source of Evaluation Data

1. Annual operational data collected by Teacher Corps Program.

2. An Assessment of Teacher Corps, by Resource Management Corporation, August 1970.

3. Louisville Kentucky Cycle V Teacher Corps Project -- A Process Evaluation, june 1971.

4. Assessment of the Teacher Corps Program -- Report to Congress, The Comptroller General of the United States, July 14, 1972.

5. Full-Scale Implementation of a Process Evaluation System for Programs of the National Center for the Improvement of Educational Systems (formerly BEPD) by Resource Management Corps., December 1, 1972.

6. Innovation and Change: A Study of Strategies in Selected Projects Supported By NCIES, by Abt Associates, December, 1972.

7. A Study of Teacher Training at Sixth Cycle Teacher Corps Projects by Pacific Consultatns, October 1974 and February 1975.

8. Limitations of a Standard Perspective on Program Evaluation: The Example of Ten Years of Teachers Corps Evaluation, by G. Thomas Fox, Jr., University of Wisconsin, April, 1977.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Urban/Rural School Development Program

Legislation:

P.L. 90-35, 1967 Part D, Section 531
Education Professions Development Act

Expiration Date:

FY 1976

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1971	$ 90,000,000 (All of Part D)	$ 10,527,000
	1972	90,000,000 (All of Part D)	11,989,000
	1973 (Total EPDA-200,000,000 not less than 5% of which is for Part D)	200,000,000	10,297,640
	1974 (total EPDA-	300,000,000)	9,529,000
	1975 (Total EPDA-not less than 5% of which is for Part D)	450,000,000	6,355,000
	1976 (Total EPDA-not less than 5% of which is for Part D)	450,000,000	5,212,000
	1977*	-0-	-0-

Program Goals and Objectives:

The Urban/Rural School Development Program was designed to bring about enriched learning environments in schools serving children in socially, culturally, and economically disadvantaged communities through training and retraining activities for teachers and other educational personnel presently employed in such schools.

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* Legislation has expired and program was not funded in FY 77.

In order that appropriate training programs be provided, emphasis was placed upon the development within the school and community of continuous processes for identifying critical needs and assembling ideas, resources and strategies to meet those needs, and upon the development of improved decision-making capabilities in school and community personnel.

Program Operations:

Operationally, the Urban/Rural School Development Program was unique. Within the framework of the total program, three distinct operational levels were defined. First, at the national level, responsibility for program policy decisions, allocation of grant funds to regional offices and directing and monitoring the delivery of technical assistance services were provided by the Leadership Training Institute operated out of Stanford University.

Second, responsibility for and monitoring of site-specific project activities were delegated to the regional offices and, by them, to regional project officers. Included within the authority of the regional project officers was the negotiation of individual project grants and decision-making control over project program efforts.

Third, and last, the program was based conceptually and operationally upon the notion that individual projects would exercise the right to determine how local needs could best be met through local decisions as to the nature of training offered. Such training was carried out by institutions of higher education or other sources of expertise deemed adequate by the local project to achieve its goals. The planning and decision-making body at this level was composed of representatives of the schools and communities involved. Membership of these councils was apportioned on a parity basis between the schools and lay persons from the community.

Program Scope:

There were 30 current projects involving about 4,500 schools, staff and community members. Funds appropriated in fiscal year 1974, and expended during academic year 1974-1975 provided for continued developmental assistance to each of these sites. The bulk of these funds were expended to implement training programs developed from an assessment of local needs. Local project funds were supplemented by a grant made at the national level to the Stanford Urban/Rural Leadership Training Institute. The combined local and national funds were employed to provide both for the difficult and sensitive process of maintaining viable school-community councils. LTI funds were also expended in providing developmental assistance to individual sites on a site-specific basis and for higher level training in terms of site clusters characterized by relatively high degrees of similarities.

Program Effectiveness and Progress:

In 1972, the Resource Management Corporation conducted a process evaluation of 39 projects. The overall conclusion of this study was that the major goal of the Special Education program -- the training of teachers to teach handicapped children in regular classroom settings -- was being met by most of the projects studied. Academic and practicum training was directed to this end, emphasizing identification, diagnosis, and remediation for handicapped children. No major problem areas were cited by participants and there were no frequently mentioned suggestions for project improvement.

While each of the Urban/Rural projects was required to have an annual evaluation of its program, decentralization of the projects has caused extreme difficulties in terms of a national overview. Partly this situation resulted from failure to provide for adequate policy procedures which would allow OE, Washington, to require full and appropriate project reporting from either the individual projects reporting from either the individual projects or from regional project officers. Partly it resulted from a lack of understanding of, or sympathy with, the Urban/Rural Program design and purpose that existed in the regional offices. In short, while clear lines of administrative policy were established between OE, Washington, and the regional offices, no procedures existed -- by which to ensure an integrated program policy approach through the Nation. Since judgment of reliable program results were assured only through knowledge that each part of the program conformed to the same policies, it was obvious that until the existing ambiguities between OE, Washington, and the regional project officer roles were eliminated, official judgment of program effectiveness was suspect.

However, the fact of the existence and activities of the Stanford U/R Leadership Training Institute (LTI) obviated some of these difficulties, at least partially. That body, under the guidance and control of the national office provided a resource from which reliable and timely information and data regarding site activities were obtained. It also provided an avenue through which unified program policies were disseminated to the individual sites. Though as a pragmatic device such an arrangement was of great value, it certainly did not meet all requisite needs to assure site conformance to national program policy. First, because the LTI has no official governmental authority over project activities and, second, because LTI efforts were easily circumvented by regional decisions.

Despite the dismal picture painted above, some positive statements can be made about the effectiveness of the Urban/Rural Program. Perhaps the most important positive accomplishment of the program can be seen in the development of the School-Community Council. Though the notion of councils attached to federally financed efforts to improve the delivery of educational services represented very littly by itself, the idea of a council functioning on a parity basis with the education establishment proved to be a powerful force for initiation of change.

In the case of the 25 regular urban/rural projects, evidence of this force was unevenly distributed. Results of its exercise also differed qualitatively. However, even superficial observation of the SCC's in action showed its unmistakable presence.

Another area justifying positive reactions to the Urban/Rural effort was found in methods by which training needs were determined and met. Since training within a project was related to identified needs, at least two dynamics were set in motion. First, that of demonstrating that need was related to lack of training. Second, the necessity for designing training programs that were direct responses to revealed needs. Though there remained much to be discovered about the functions and relations of these two dynamics, it was now possible to discuss instances where interaction between them had produced new and effective approaches to inservice training efforts. One of the more interesting examples of an outcome of this interaction was seen in the "Resident Professor" concept.

Among many other possible areas important to the solution of educational deficiencies characteristic of disadvantaged communities was the area of communications between the schools and those the schools should serve. The Urban/Rural Program design was shown as having a very definite positive impact here. There is no need to rehash the horror stories of the ugly conflicts between school boards and teachers; between schools and communities; between school officials and parents; between students and teachers; etc.; etc.; which have filled our streets with angry mobs -- which have resulted in strikes, damage to schools, injury to individuals, and, perhaps most importantly, the erosion of public faith in the capabilities of the school as a major institution through which the youth of the nation are assisted in their struggle to become productive and valuable citizens. School boards and superintendents have had notoriously little success in keeping such conflicts from the streets. However, it is possible now to look back upon the history of the past years of school systems in which the Urban/Rural Program was operative and, from that history, draw several potentially dramatic conclusions. It is important to remember that Urban/Rural Schools generally were selected from environments most often affected by such activities. The most striking fact related to the above is that during the life-span of the Urban/Rural experience, there was no disruption of educational activities within the urban/rural target schools except for the recent strike affecting all New York City Schools. Morale in participating schools appears to be consistently high. Involvement of both school and community personnel was remarkably constant. School discipline problems had diminished noticeably. For the most part, individuals serving on the School-Community Councils viewed their participation as being important and had given much time and effort to the work of those bodies. It appeared that a reasonably sound conclusion would be that the SCC's offered both a viable means through which educational defects are attacked and that the specific task orientation of the group, with its mix of major role group representation, provided a forum through which many potential conflicts were defused.

To end this presentation at this point presents an alluring temptation. However, tempting though it is, such a procedure would distort the true nature of the Urban/Rural effort. No person possessing even a modicum of knowledge of the current education scene could believe that the Urban/Rural School Development Program provided the total answer to qualitative improvement of the American schools. What, then, are some of the negative lessons that were learned during the course of its development?

First, among these lessons is that the difficulty of providing hard data to show that specific inservice training has a direct cause and effect relation to student achievement was seriously underestimated. It is now quite clear that more time was required to test that relationship with any degree of accuracy.

Secondly, the original conceptualization of the Urban/Rural Program failed to recognize sufficiently the complexities of political and economic factors that have proven to be extremely difficult to manage in terms of giving specific developmental assistance to local projects. This failure caused much confusion and resulted in realizing less success than had been anticipated.

Thirdly, it is now understood, but only after a rather lengthy period of frustration, that the importance of the "parity" concept was central to the successful creation and operations of the School-Community Councils. Much effort was expended to provide for structual parity between role groups represented in that group. Realization of the greater necessity for what can be defined as "procedural" parity has only been recognized as the real problem and the search for ways to cope with parity in this has only begun.

Finally, full understanding of the nature and causes of the general lack of interest on the part of the tax-paying public and the existence of apparent parental apathy in terms of achievement levels of students remain as significant problems to be overcome.

In conclusion, it must be emphasized that this discussion undertook to present a balanced view of the design of the Urban/Rural School Development Program; of what were the foci of its efforts; of major accomplishments and deficiencies; and, finally, to provide the reader with sufficient information on which to judge for himself its value or lack of value.

Ongoing and Planned Evaluation Studies:

No projected studies are planned for this area. There are no major studies underway.

Sources of Evaluation Data:

1. Annual programs data.
2. National and regional Conferences.
3. Reports from the Stanford Urban-Rural School Development Programs, Leadership Training Institute.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Vocational Education Personnel Development Program

Legislation:

Education Professions Development Act (P.L. 90-35), Part F; enacted October 16, 1968 as Title II of the Vocational Education Amendments of 1968 (P.L. 90-567); and amended as the Part F amendment of EPDA. (Note: EPDA is forward-funded).

Expiration Date:

September 30, 1977

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1970	$ 35,000,000 (Part F, only)	$ 5,678,330 (including $480,541 under EPDA, Part D)
	1971	40,000,000 (Part F, only)	6,757,000
	1972	45,000,000	6,905-130 (including $155,000 under EPDA, Part D)
	1973	(not less than 10% of total EPDA appropriation)	11,860,000
	1974	(not less than 10% of total EPDA appropriation)	11,268,000
	1975	(not less than 10% of total EPDA appropriation)	9,000,000
	1976	(automatic extension Ed. Amendments 74)	10,000,000
	1977	Ed. Amendments 1976 P.L. 94-482, Title II, Sec. 201	10,000.000
	1978	-0- 1/	-0-

1/ P.L. 94-482 consolidates this program into the Vocational Education Act, Title I, Part A, Subpart 3 in FY 78.

Program Goals and Objectives:

Section 552 of Part F has a legislative purpose which requires that the Leadership Development Program be designed to meet the needs of all 56 State boards for highly qualified vocational education personnel to exercise effective leadership. The specific objective for FY 76 was to provide stipends for qualified individuals to attend approved one-year, graduate level, comprehensive vocational education leadership development programs. To accomplish this goal the 56 State Boards for vocational education identify and nominate individuals who have the potential for fulfilling the leadership needs identified by each State board. The outcome expected is that all of the individuals exiting from the program will assume new vocational education leadership positions or exercise a greater degree of leadership in the position to which they return.

The primary concern of the FY 1976 funding year was the identification of individuals with potential for leadership and approval of graduate programs of institutions. Approval of institutional applications is noncompetitive.

Section 553 of Part F gives legislative authority for paying the cost of cooperative arrangement training activities for vocational education personnel focused on "strengthening vocational education programs and the administration of schools offering vocational education." The overall goal of the Section 553 program is to assist each State board in the development and operation of a subsystem for personnel development which is oriented to management by objectives at State, local and institutional levels and to fund training activities which would make such a system operational and/or meet personnel development needs for which there are no other funds available. The Section 553 legislation encompasses almost any kind of training activity at any educational level affecting vocational education for periods of time ranging from one-day conferences to intensive training programs or internships one-year (or more) in length as long as such activities are "designed to improve the qualifications of persons entering and re-entering the field of vocational education ... (and) are part of a continuing program of inservice or preservice training".

The specific operational objective for FY 1977 was to assist 56 State boards for vocational education to improve the quality and effectiveness of their cooperative arrangements through staff development, State coordination, and the monitoring of training activities. Another objective was the development of training activities to meet specific unmet National and Regional personnel development needs.

Program Operations:

Section 552: In this program individuals select approved institutions which offer programs to develop their leadership skills in working with vocational education programs and to increase the participation of women, disadvantaged, handicapped and minorities in vocational education. The programs offered by these institutions include individualized programs, practicum and internship experiences and competency - based programs.

Section 553: In this program, State boards for vocational education submit a plan of action based on their approved State Plans for Vocational Education. Each plan has one or more application for funding cooperative arrangement projects. In addition, the Bureau of Occupational and Adult Education identifies a limited number of National priority personnel development needs. Any proposal submitted by a State which addresses one of these priorities is reviewed by a nationally constituted panel in competition with all other such projects submitted.

Program Scope:

Section 552: The program stresses increasing leadership capabilities in local education agencies, State departments of education, institutions of higher education, and other appropriate agencies. A total of $2,400,000 from the FY 1977 appropriation was allocated to the 552 program. There are 240 awardees participating in projects being conducted at 38 institutions of higher education.

Section 553: Within this program State projects are focused on Stat personnel development needs identified in an OE approved State Plan for Vocational Education. Regional projects are focused on Regional personnel development needs identified as a priority for the States in each of the 10 OE Regions. National projects are focused on National personnel development needs approved by the Bureau of Occupational and Adult Education as priorities for the Nation. The section 553 program was allocated $7,600,000 from the FY 1977 appropriation. Grants were awarded to 55 State boards for vocational education. These awards encompassed 309 State projects, 13 Regional projects, and 18 National projects. The number of individuals benefitting from the training is 71,326.

As activity of the National Project for Improving and Refining State Systems for Personnel Development, a notebook entitled "VEPD Promising Practices" has been developed. This was developed through a grant with the EPD Consortium D (ESC-10 Texas) and the Texas Education Agency. Promising Practices contains descriptions of vocational education personnel development projects that States have completed or that are currently in progress. The Promising Practices were submitted by the State coordinators, project directors and/or other personnel involved in the activities. Examples of projects included in Promising Practices are: Bilingual Education-Delaware, Florida, Ohio, New Mexico, Texas and Oregon; Management and Leadership Program for Administrative Personnel-Indiana; Performance Based Teacher Education Curricula-Ohio; Management Approach to Leadership

Development-Arkansas; Mini-Course in Metric Education for Vocational Teachers-Oklahoma; Current Issues and Trends in Vocational Education for developing Teacher Leader-Arkansas. In addition, a resource manual was developed as a basic training tool for use by State VEPD Coordinators.

Since funding for the Section 552 projects does not terminate until August 1977, and as late as December 1977 in the Section 553 grants, complete data are not available as to the effectiveness of these funding. Nonetheless, joint monitoring by the Regional and Central staff and individual project evaluation indicate continued improvement in program quality.

Ongoing and Planned Studies:

1. Lessons Learned from EPDA, Part F; Phyllis Hamilton; Stanford Research Institute; component of document to be published in early 1977.
2. Impact of Section 553 Funding on Thirteen States, 1971-1975; John Coster, Center for Occupational Education, North Carolina State University.
3. Impact of Section 553 Funding on Fourteen other States, 1971-1975; John Coster, Center for Occupational Education, North Carolina State University.

Sources of Evaluation Data:

Commissioner's Report to Congress on the Education Professions for 1974 on Vocational Education Personnel Development; Phyllis Hamilton; Stanford Research Institute.

Section 552 final project reports on file in VEPD.

Section 553 final project reports considered exemplary by Regional Offices.

Monitoring and site-visit reports on file in VEPD.

VEPD Promising Practices, FY 1976, Dr. Billy Pope, EPD Consortium D, Richardson, Texas.

Statistical Report on Vocational Education Personnel Development 1969-1976, Appendix A of Perspective on VEPD After Eight Years; Muriel Shey Tapman, Fall 1976.

A comparative Study of Career Advancement of Female and Male Participants in the Vocational Education Leadership Development Program under the Education Professions Development Act, Kermeta Clayton Funderburk, Texas Woman's University.

Survey of the E.P.D. Leadership Development Program 1970-1976, Gordon Swanson, University of Minnesota.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Library Services

Legislation:

Library Services and Construction Act, Title I, as amended by P.L. 91-600 (and Title IV-A and IV-B to 1972) and further amended by P.L. 93-380 and P.L. 95-123

Expiration Date:

FY 1982

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
Beginning in 1972, State Institutionalized Services (Title IV-A) and Services to the Physically Handicapped (Title IV-B) were combined under Title I.	1965	$25,000,000	$25,000,000
	1966	25,000,000	25,000,000
	1967	35,000,000	35,000,000
	1968	45,000,000	35,000,000
	1969	55,000,000	35,000,000
	1970	65,000,000	29,750,000
	1971	75,000,000	35,000,000
	1972	112,000,000	46,568,500
	1973	117,600,000	62,000,000 1/
	1974	123,500,000	44,155,500
	1975	129,675,000	49,155,000
	1976	137,150,000	49,155,000
	Transition Quarter		12,289,000
	1977	137,150,000	56,900,000
	1978	110,000,000	56,900,000
(Old Title IV-A)	1967	5,000,000	350,000
	1968	7,500,000	2,014,000
	1969	10,000,000	2,094,000
	1970	12,500,000	2,094,000
	1971	15,000,000	2,094,000
	1972	See above	See above
(Old Title IV-B)	1967	3,000,000	250,000
	1968	4,000,000	1,254,000
	1969	5,000,000	1,334,000
	1970	6,000,000	1,334,000
	1971	7,000,000	1,334,000
	1972	See above	See above

1/ $32,000,000 of the 1973 appropriation was impounded and not released until FY 74.

Program Goals and Objectives:

The legislative purpose of the program is to provide support to States: to assist them in providing library services to areas without such services or areas with inadequate services; to assist in improving quality of information services including services to specialized groups such as the disadvantaged, bilingual, the physically handicapped, and those in State public institutions; to strengthen metropolitan public libraries which serve as national or regional resources centers; and to plan programs and projects to extend and improve services. Funds may also be used to strengthen the capacity of the State library administrative agencies to serve the people, and for administrative costs for all Library Services and Construction Act programs.

Program Operations:

LSCA, Title I allots funds to the States by grants on a formula matching basis. Each State receives a base of $200,000 with the remaining amount allocated by population. The Federal share ranges from 33 percent to 66 percent, except for the Trust Territories, which are 100 percent federally funded. States must match in proportion to their per capita income and maintain the level of expenditures of the second preceding year. They must also maintain the same level of fiscal effort for handicapped and institutionalized library service that existed prior to the combination of these programs under the FY 1971 level.

Program Scope:

1. Federal dollars appropriated (1957-78)	$649,242,000
2. State and local matching dollars (1957-78)	over $2 billion

Estimated FY 76 data for this program are as follows:

3. Population with access to LSCA services	92,000,000
4. Disadvantaged persons with access to LSCA	29,000,000
5. Number of State institutionalized persons served by LSCA	800,000
6. Number of handicapped persons served by LSCA	480,000

In 1956 at the beginning of this program 23 States had programs for statewide public library development with expenditures under these programs amounting to $5 million. Since the inception of LSCA, 15 additional or a total of 38 States now have grant-in-aid programs, with annual appropriations exceeding $100 million.

Program Effectiveness and Progress:

Federal assistance has contributed to the expansion and improvement of library services throughout the country. Today, about 96 percent of the population has access to some form of public library services. Current reports indicated that 60 percent of the LSCA expenditures have gone to projects with designated disadvantaged priorities.

The first study of the impact of Title I services, covering the period from 1964 to 1968, was made by the System Development Corporation, Santa Monica (SDC). In reviewing the LSCA activities in 11 States it found that most projects felt handicapped by: lack of manpower; lack of coordination among public libraries and other educational agencies; need for research in determining whether disadvantaged projects were reaching their goals; lack of understanding on the part of the public library's potential and actual services; lack of ability of libraries to react quickly to public demands for more services; and lack of suitable measurements of library performance.

The Behavioral Science Corporation, Washington, D.C., conducted a study to evaluate public library service to disadvantaged people in selected cities. These projects were not limited, however, to Title I projects. This pilot study of selected library programs in 15 cities serving urban disadvantaged people utilizing user and non-user interviews for evaluation, recommended that libraries find better ways to coordinate with schools when dealing with disadvantaged children. The successful programs were characterized by some or all of the following features: active participation by the target group; emphasis on audio visual rather than print materials; and provision of significant service in the community.

Another major evaluation study was conducted by SDC to determine how the Library Service and Construction Act, Titles I and II, is meeting the public library needs of special clientele groups, e.g., disadvantaged, ethnic minorities, handicapped, and institutionalized persons. This evaluation project surveyed all State Library Agencies, all known ongoing projects directed toward these groups, and discontinued projects. This study provides an inventory of projects, a needs assessment, and recommendations for program change. Over 1,600 projects were identified and queried. It was found that many projects classified as discontinued (these projects had been initiated with LSCA funds) were nevertheless operational because of funds received from State or local agencies. A methodology specifying criteria to adjudge program effectiveness was developed, and was tested and validated with the projects in the study.

The report concluded:

> It is evident from the data gathered in this project that LSCA projects directed toward special clientele have been successful, to some extent. More projects are successful than unsuccessful, and fairly significant numbers of special clientele groups have been reached. It is also evident that some projects are

> far from successful. Many important needs are not being met, or barely being met, even by projects judged successful...
>
> In many States it was evident that were federal funds not available, there would be no projects whatsoever for special clientele. Indeed, in one State plan that was examined the statement was made that, while there were special clientele in the State, no projects need be directed towards them because the state intended to give service to all of its citizens on an equal basis: That naive attitude represents -- all too frequently -- the lack of knowledge and concern that exists at many levels of state and local government. Special clientele frequently need to be educated to become users, and persuaded that the library has something of value for them. LSCA funds have been a critical factor in projects for special clientele, and they have provided the bulk of the funds being used for innovative projects; without LSCA (or a real substitute) there would be little or no innovation -- in short, a rather static, even moribund public library in the U.S.

A subsequent major study of "The Public Library and Federal Policy," performed by SDC, assessed the current total national public library situation utilizing existing data and included recommendations for further data collection efforts in areas of current information deficiencies. The final report stated:

> In this study we examined the past and present status of the public library and likely directions for the future. Based upon our examination of the public library as an information-providing institution, and our certainty that free access to all kinds of information is a requirement of a democratic society and a necessity for individual well being, [it was found that]
>
> The Federal government has played a role in recent years of helping the public library to organize into systems and to provide services to segments of the population who were previously unserved. While there are indications that Federal programs suffered from insufficient coordination, insufficient evaluation, and inadequate funding, there is much evidence to demonstrate that a strong impetus toward system organization and the provision of services to special clientele were provided by Federal intervention.

Ongoing and Planned Evaluation Studies:

Impact Evaluation of Public Library Services Program to begin Fall 1978.

Sources of Evaluation Data:

1. Overview of LSCA Title I, by System Development Corporation, published by Bowker, 1968.
2. A Study of Public Library Service to the Disadvantaged in Selected Cities, by Claire Lipsman and contracted to Behaviors Science Corporation, 1970.
3. Study of Exemplary Public Library Reading and Reading Related Programs for Children, Youth and Adults, by Barss, Reitzel & Assoc., Inc., 1972.
4. Basic Issues in the Government Financing of Public Library Services, Government Studies and Systems, May 1973.
5. Evaluation of LSCA Services to Special Target Groups, by System Development Corporation, July 1973.
6. The Public Library and Federal Policy -- by System Development Corporation, July 1973.
7. Various Library Demonstration Projects: These projects are designed to survey and analyze the public library and information services to the American Indian, the aging, and the information needs of the rural and urban poor.
8. Program Operational Data.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Interlibrary Cooperation

Legislation:

Library Services and Construction Act, Title III, as amended by P.L. 91-600 and P.L. 95-123

Expiration Date:

FY 1982

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1967	$ 5,000,000	$ 375,000
	1968	7,500,000	2,256,000
	1969	10,000,000	2,281,000
	1970	12,500,000	2,281,000
	1971	15,000,000	2,281,000
	1972	15,000,000	2,640,500
	1973	15,750,000	7,500,000 1/
	1974	16,500,000	2,593,500
	1975	17,300,000	2,594,000
	1976	18,200,000	2,594,000
	Transition Quarter		648,000
	1977	18,200,000	3,337,000
	1978	15,000,000	3,337,000

Program Goals and Objectives:

The legislative purpose of the program is to establish and maintain local, regional, State or interstate cooperative networks of libraries and for the coordination of informational services of school, public, academic, and special libraries and information centers, permitting the user of any one type of library to draw on all libraries and information centers. The participation of one other type of library other than a public library is required for such service programs.

Program Operations:

The Library Service and Construction Act (LSCA), Title III, allocates funds to the States on a formula basis. Each State receives a sum in the amount of $40,000, and the remainder is allocated by popula-

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1/ $4,770,000 of FY 73 appropriation was impounded until FY 74. Actual FY 73 obligations were $2,730,000.

tion formula. The State library agency must submit its Annual Program Plan (proposed expenditures of funds) before it can receive its allocation. Title III does not require State or local matching funds, although many projects do have State and local funds along with LSCA funds.

Program Scope:

The FY 75 appropriation provided support for cooperative networks involving the sharing of resources among 7,575 libraries of at least two or more of the following four types: school, academic, public, or special. Based on the Annual Reports for FY 75, the table indicates how FY 75 Federal and local funds were spent.

Category	No. of States Reporting	% of Total Expenditures
1. Communications Networks	32	25
2. Bibliographic Service	30	20
3. Technical Processing Service	12	15
4. Reference Service	22	12
5. Others	24	28

Program Effectiveness and Progress:

Program operational data indicate that participation by all types of libraries in telecommunications or information processing systems has increased. Also, planning within States as well as multi-State planning for coordination of library services is increasing. Cooperative local, State and regional projects and networks appear to be increasing services to their clientele in a cost-effective manner.

Ongoing and Planned Evaluation Studies:

A study of library cooperatives, networks, and demonstration projects is in progress.

Source of Evaluation Data:

Program operational data.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

College Library Resources

Legislation:

Higher Education Act of 1965,
Title II-A

Expiration Date:

FY 1979

FUNDING HISTORY	YEAR	AUTHORIZATION		APPROPRIATION
	1966	$50,000,000		$10,000,000
	1967	50,000,000		25,000,000
	1968	50,000,000		24,522,000
	1969	25,000,000		25,000,000
	1970	75,000,000		9,816,000
	1971	90,000,000		9,900,000
	1972	18,000,000		11,000,000
	1973	75,000,000	(II-A&B)	12,500,000
	1974	85,000,000	(II-A&B)	9,975,000
	1975	100,000,000	(II-A&B)	9,975,000
	1976	100,000,000	(II-A&B)	9,975,000
	1977	110,000,000	(II-A&B)	9,975,000
	1978	115,000,000	(II-A&B)	9,975,000

Program Goals and Objectives:

The legislation provides grants to eligible institutions to assist and encourage them in the acquisition of library resources including law library resources, such as books, periodicals, documents, magnetic tapes, phonograph records, audiovisual materials and other related materials (including necessary binding). For the purpose of this Act eligible institutions are defined as institutions of higher education and other public and private non-profit library institutions whose primary function is the provision of library services to institutions of higher education on a formal cooperative basis.

Program Operation:

Three types of grants can be awarded to eligible institutions of higher education: (1) Basic grants of up to $5,000, provided that the applicant expends at least the same amount from institutional funds for library resources; (2) Supplemental grants of up to $20 per student, provided that the applicant meets the eligibility terms for a Basic grant; and (3) Special Purpose grants, unrestricted as to the amount requested but which must be matched with $1 of institutional funds for library resources for every $3 of Federal funds requested. For both the Basic and Special Purpose grant categories, applicants must meet maintenance-of-effort requirements in two areas--[illegible]l library purposes and library resources--as follows: in the [illegible] year of application, the applicant must expend, or plan to expend, an amount equal to or in excess of the average of the 2 fiscal years preceding the year of application for total library purposes; in the year of application, the applicant must expend, or plan to expend, an amount equal to or in excess of the average of the two fiscal years preceding the year of application for library resources. Under certain circumstances, a waiver may be granted from maintenance-of-effort requirements. In the case of Special Purpose grants, the matching share must be in addition to the base 2 year average for library resources institutional expenditures.

Program Scope and Effectiveness:

In FY 71-72, all grant funds were concentrated on the neediest institutions, on the basis of recommendations made by staff and the Commissioner's Advisory Council on Library Training. This approach was predicated on data indicating that most junior colleges and many urban institutions were far below national standards. However, the Education Amendments of 1972 prescribed that basic grants were to be awarded to all eligible institutions first.

In recent years priority among these institutions has been given to the purchase of urban studies, ethnic studies and career education materials. In FY 75 approximately 120 predominately black institutions were recipients of II-A grants.

In fiscal year 1976, 2,486 basic grants were made at $3,930 each and 74 grants averaging $2,498 each. A breakdown of types of materials purchased with this program's support indicated that 75 percent of the funds were used for acquisition of printed materials (books, magazines, pamphlets, etc.) and the remaining 25 percent for the non print materials (films, filmstrips, recordings, tapes, microfiche, etc.)

Grants by type of institutions are:

FY 76	Number of Institutions
Two year institutions	915
Four-year colleges	735
Universities	920
TOTAL	2,570

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Studies:

Program operational data

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Library Career Training

Legislation:

Higher Education Act of 1965,
Title II-B

Expiration Date:

FY 1979

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1966	$15,000,000	$ 1,000,000
	1967	15,000,000	3,750,000
	1968	15,000,000	8,250,000
	1969	11,000,000	8,250,000
	1970	28,000,000	4,000,000
	1971	38,000,000	3,900,000
	1972	12,000,000	2,000,000
	1973	(See HEA II-A	3,572,000
	1974	College Library	2,850,000
	1975	Resources	2,000,000
	1976	Authorization)	500,000
	1977		2,000,000
	1978		2,000,000

Program Goals and Objectives:

The purpose of this program is to respond to the increasing need for professional personnel and the acute shortage of paraprofessionals, focusing on the recruitment of minority groups including women to serve in all types of libraries. Another thrust is the retraining of professional librarians and allied personnel in those new and developing areas (e.g., networking, service to the special clientele, middle management, and media utilization, etc.) to make those in the field more responsive to user needs. The fellowship program is directed at upgrading the skills of minorities, including women, by obtaining the capabilities needed to assume high level positions in library supervision, administration, and leadership.

Program Operations:

This program provides grants to institutions of higher education to support training and retraining of librarians and information scientists including paraprofessionals, for service in all types of libraries and information centers. Professional training is accomplished through short and long-term institutes, traineeships, and pre- and post-baccalaureate fellowships.

The Education Amendments of 1972, effective for FY 73 program operations, required that at least 50 percent of all program funds be used to support academic fellowships and traineeships. Also, other library agencies and associations are now eligible to submit proposals for consideration.

Program Scope:

The fiscal year 1976 appropriation of $500,000 provided for the training of 51 fellows or trainees, and 120 librarian institute participants at all levels.

Nearly $15,600,000 has been used to support the training of 12,777 library professionals and paraprofessionals in short- and long-term institutes since 1966. Over $23 million has been used to award 3,259 graduate fellowships during this period. In 1975, 67 percent of the fellowship awards made by training institutions were to ethnic minorities.

Program Effectiveness and Progress:

Two formal evaluation studies of this program have been made. The first in FY 1969 by the Bureau of Social Science Research, Washington, D.C., was restricted to the fellowship program. It was found at that time that all three types of graduate support (the masters, postmasters and Ph.D. programs) were accomplishing their intended goals of upgrading and increasing the supply of librarians; however, the study indicated that the masters program was most effective out of the three studied for bringing in new personnel to library areas outside the academic library field. The second study was performed by Rutgers University, New Brunswick, New Jersey, and examined the institute program. Interviews were conducted with institute directors, Regional Program Officers, and the staff from the library bureau. It was found that the area of greatest institute impact is in the area of school media personnel (specialists who integrate print and non print resources with the formal learning experience).

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

Overview of the Library Fellowship Program, by the Bureau of Social Science Research, Inc., of Washington, D.C., 1970.

Data Collection and Description of HEA Title II-B Institutes, by Rutgers, New Brunswick, New Jersey, 1972.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Library Research and Demonstration

Legislation: **Expiration Date:**

Higher Education Act of 1965, Title II-B — FY 1979

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1967	(See Library Career Training Authorization).	$3,550,000
	1968		3,550,000
	1969		3,000,000
	1970		2,171,000
	1971		2,171,000
	1972		2,000,000
	1973	(See HEA-IIA College Library Resource Authorization)	1,785,000
	1974		1,425,000
	1975		1,000,000
	1976		1,000,000
	1977		1,000,000
	1978		1,000,000

Program Goals and Objectives:

According to the legislation, the purpose of the program is to provide support for research and demonstration projects for the improvement of libraries and training in librarianship.

Program Operations:

OE makes discretionary grants and contracts to public and private organizations and agencies including institutions of higher education.

The following are descriptions of areas of need either currently addressed or funded under the demonstration program:

1. Institutional cooperation: (cooperation among academic, public and special libraries and between them and other institutions, e.g., museums, community colleges, etc.)

2. Improvement of library efficiency and general service development (software, hardware and organizational methods) to provide better user service.

3. Improving training in librarianship and in new technologies to provide better user service.

4. Service development particularly to special target groups (aging, poor, ethnic, minority, rural, etc.

Program Scope:

In fiscal year 1976, this program supported 19 projects promoting (1) institutional cooperation emphasizing service to special target groups (6); (2) more efficient use of library systems (6); (3) improvement in training for library related careers (3); (4) needs assessments in libraries and information science (2); and (5) planning and research in this field (2).

Program Effectiveness and Progress:

Since 1967, $20.5 million has been used for research and demonstrations relating to the improvement of library services. Present program focus is to move away from technical research and toward demonstrating patterns of interagency cooperation to provide better services to special groups.

Ongoing and Planned Evaluation Studies:

A study of Library Cooperative Networks, and Demonstration Projects is in progress.

Source of Evaluation Data:

Program Operational Data

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Undergraduate Instructional Equipment

Legislation:	**Expiration Date:**
Higher Education Act of 1965, Title VI-A	FY 1979

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1966	$37,500,000	$ 15,000,000
	1967	60,000,000	14,500,000
	1968	70,000,000	14,500,000
	1969	14,500,000	14,500,000
	1970	70,000,000	-0-
	1971	70,000,000	7,000,000
	1972	70,000,000	12,500,000
	1973	70,000,000	12,500,000
	1974	70,000,000	11,875,000
	1975	70,000,000	7,500,000
	1976	70,000,000	7,500,000
	1977	70,000,000	7,500,000
	1978	70,000,000	7,500,000

Program Goals and Objectives:

The legislative objective of this program is to assist undergraduate programs to improve the quality of their instructional equipment (including closed circuit television) and to assist in remodeling associated with the installation of such equipment.

Program Operations:

Program funds are allotted by formula to the States based on State per capita income and enrollment in institutions of higher education within the State. State commissions, broadly representative of higher education in the State, develop their own plans, establish priorities, criteria, set deadlines, conduct workshops, work directly with institutions in preparing the proposals, review proposals and assign them priority ranking for funding. OE makes final approval of grants and, in cooperation with State commissions, handles administration, including closeouts.

This program provides funds on a matching basis (States' average must equal 50percent) for acquisition in two categories: Category I, Instructional equipment materials, and minor remodeling; Category II, Closed circuit television equipment, materials, related remodeling. Separate State allotments are made for each category.

Program Scope:

In fiscal year 1976, 776 institutions were awarded grants. Seventy-five percent of the recipients were public institutions and 25 percent were private higher education institutions. Seventy-eight percent of the appropriation supported Category I materials and 22 percent supported Category II equipment.

Program Effectiveness and Progress:

Approximately $117.4 million has been allotted since 1966 to academic institutions for the purchase of general instructional equipment, closed circuit television (CCTV) equipment and some minor remodeling accompanying these purposes. Particularly significant is the climbing rate of expenditures for CCTV: 1966-1975 - 12 percent; 1975 - 19 percent; 1976 - 22 percent.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

Program operating data

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Educational Broadcasting Facilities

Legislation:

Communication Act of 1934
Part IV Title III P.L. 94-309
(as amended by 47 USC 390 et seq).

Expiration Date:

FY 1978 1/

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1965	$ 32,000,000	$ 13,000,000
	1966	for 5-year	8,826,000
	1967	period 63-67	3,304,000
	1968	10,500,000	-0-
	1969	12,500,000	4,000,000
	1970	15,000,000	4,321,000
	1971	15,000,000	11,000,000
	1972	15,000,000	13,000,000
	1973	25,000,000	13,000,000
	1974	25,000,000	15,675,000
	1975	30,000,000	12,000,000
	1976	30,000,000	12,500,000
	1977	30,000,000	15,000,000 2/
	1978	30,000,000	19,000,000

Program Goals and Objectives:

The legislative purpose of the program is to provide support, through matching grants (75 percent of the cost of eligible items necessary to the project) for the acquisition and installation of transmission apparatus required by noncommercial broadcasting stations to meet educational, cultural, and information needs of Americans, both in homes and schools.

The program goals and criteria stipulated in the legislation (Sec. 390 and 392 Sec. 6(d) (1)(A)(B)(C) and (2)(A)(B) and (C) are: (1) extend noncommercial broadcast services, with due consideration to equitable geographic coverage through the United States; (2) streng-

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1/ Extended 1 year through GEPA and point of order appropriation language.

2/ $14 million represents the FY 77 appropriation for the operation of the broadcast facilities program at OE. The additional one million dollars each year is for funding non broadcast demonstration projects and is administered by the Office of Telecommunication Policy, Assistant Secretary for Planning and Evaluation (Sec. 392A).

then the capability of existing noncommercial broadcast facilities to broaden educational uses. In order to achieve these objectives, the program stimulates the growth of noncommercial broadcast stations technically capable of providing adequate program services to communities; and 3) also encourages statewide and regional planning and coordination of telecommunications capabilities to utilize fully the potential of public broadcast systems.

Program Operations:

Upon receipt of applications, OE awards grants consistent with achieving the goals and objectives of the program. Under existing legislation eligible grantees include: the agency responsible for public education within a State or political subdivision, the State educational television and/or radio agency, a public or private nonprofit college or university, or other educational or cultural institution affiliated with an eligible college or university, a nonprofit entity organized primarily to operate an educational television or radio station, and a municipality which owns or operates a facility used only for noncommercial educational broadcasting.

Noncommercial broadcasting serves the public interest by providing additional educational opportunities for preschool amd school-age children, and for adults. About 40 percent of noncommerical television time is devoted to instructional programming to enrich teaching in the classroom.

Local public radio and television stations are also being called upon to use the broadcast medium to focus on matters of national concern such as nutrition and health. the environment, energy concerns, consumer services, drug abuse, and mental health. In addition they are producing programs dealing with issues such as unemployment, welfare, law enforcement and other local concerns.

Program Scope:

In fiscal year 76, 73 noncommercial Educational Radio (ER) and Educational Television (ETV) stations received grant support under this program. Forty-three grants were for ETV: 6 grants for new activations and 37 grants for expansion and improvement of existing facilities. The remaining 30 grants were made to ER stations and represented 9 new starts and 21 grants for upgrading existing facilities. The total number of noncommercial television stations on the air or under construction increased from 76 in 1963 to 268 by the end of FY 1976. During this same period 290 matching grants were awarded to existing stations to improve or expand their facilities.

The number of full-service public radio stations in the country has increased from 67 in 1969, when Federal assistance to noncommercial radio stations was first made available, to 173 on-the-air or under construction at the end of FY 76. One hundred and nineteen grants were awarded to existing radio stations to expand and/or improve their facilities.

Program Effectiveness and Progress:

The 1962 authorizing legislation provided for matching grants to help local communities develop noncommercial television broadcast facilities to serve the educational, cultural, and informational needs of Americans in their homes and schools. The Public Broadcasting Act of 1967 extended the enabling legislation and included radio stations as eligible for Federal assistance. A Congressional Declaration of Policy issued with the passage of the 1967 Act stated: "It is necessary and appropriate to support a national policy that will most effectively make noncommercial educational radio and television service available to all citizens of the United States."

By 1976, 268 (104 VHF/164UHF) of the 666 television channels reserved for noncommercial purposes were being utilized. The on-air stations, when fully activated, will be able to reach up to approximately 80 percent of the U.S. population. For the following reasons it is estimated that only 65 percent of the "potential" viewers actually receive a clear and usable television signal: 1) Many home sets receive only the VHF Channels; 2) Stations operate with power too low to reach all residents within the community; and 3) Signal interference exists in areas with hilly terrain and tall buildings. Among the existing ETV stations, nearly one-third do not have adequate reproduction capability to permit the local programming flexibility; and about the same number are unable to originate programs in color at the local level.

Today, 173 full-service public radio stations are capable of providing programming to potentially 65 percent of the U.S. population. Many of these potential listeners are also unable to receive the public radio station in their community for the following reasons: 1) Many home radios and most car radios are AM only while approximately 95 percent of all public stations operate in the FM band; 2) Stations operate at lower than authorized power, reduced power at night, or during the daytime only; 3) Signal interference; and 4) Station towers are less than the maximum allowable heights.

Many local noncommercial broadcast stations are now able to receive the network program services provided TV stations by the Public Broadcasting Service (PBS) and radio stations by National Public Radio (NPR). The program offerings to these stations have been highly beneficial. It has enabled them to devote a greater amount of their resources to local quality productions. According to a 1974 Public Broadcasting Service (PBS) survey, 43.4 percent of the programming of a public TV station is devoted to general programs (16.0 percent information and skills, 12.5 percent children's, 12.3 percent cultural and 2.6 percent other); 29.5 percent to ITV; 16.7 percent to Sesame Street/Electric Company (6.3 percent shown in homes, 10.4 percent in schools); and 10.4 percent to news and public affairs.

The Educational Broadcasting Facilities Program (EBFP) utilizes studies conducted by the National Center for Education Statistics in the continuing process of awarding Federal assistance grants and in the planning and development of needed broadcast facilities. Basic data are collected in five areas: (a) financial and programming, (b) employee, (c) station and transmission facilities, (d) broadcast data, and (e) management personnel. The program continues to identify new data needs by keeping in close communication with all organizations which carry out research in the field of telecommunications.

A 1974 study for the Office of Education performed by Battelle, Columbus, Ohio, entitled A PLANNING STUDY -- THE FUTURE OF EDUCATIONAL TELECOMMUNICATIONS concluded that public telecommunications has great potential, but to fulfill that potential there is a need for re-examining goals, broadening current guidelines to take advantage of new technology, improving distribution capabilities, and setting minimum standards for production facilities. For the EBFP program it was recommended that primary emphasis be focused on extended and improved transmission, and the funding of production capabilities must be carefully balanced between the need for substantial pools of talent and equipment and the desire for local activity.

Ongoing and Planned Evaluation Studies:

Currently, HEW is the primary funded of AREAPOP II, a study on public television coverage conceptualized by the Public Broadcasting Service. AREAPOP II will link information on stations' actual transmission patterns with demographic data on their potential viewers. The study will provide information which is critical for facilities planning and program development. In addition, the study will also allow for follow-on simulation activity which will predict how given changes in a station's tranmission facilities will affect the station's coverage.

Sources of Evaluation Studies:

1. Educational Broadcasting Facilities Program historical operating data
2. Surveys of existing facilities made by the National Center for Educational Statistics (ASE)
3. Corporation for Public Broadcasting, Washington, D.C., surveys and studies
4. National Association for Educational Broadcasting, Washington, D.C., research studies
5. Public Broadcasting Service, Washington, D.C., surveys and studies
6. National Public Radio, Washington, D.C., surveys and studies
7. The Future of Educational Telecommunications, A Planning Study by George W. Tressel et al. Battelle Memorial Institue, Lexington Books, 1975.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Educational Television and Radio Programming Support

Legislation:	**Expiration Date:**
Special Projects Act Section 402 (P.L. 93-380)	FY 1978

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION 1/
	1972	Indefinite	$ 7,000,000
	1973	Indefinite	6,000,000
	1974	Indefinite	3,000,000
			1,000,000 2/
	1975	Indefinite	7,000,000
	1976	Indefinite	7,000,000
	Transitional Quarter		1,600,000
	1977	Indefinite	7,000,000
	1978	Indefinite	5,000,000

Program Goals and Objectives:

The OE goal for this program is to carry out the development, production, evaluation, dissemination, and utilization of innovative educational television and radio programs designed (for broadcast and/or nonbroadcast uses) to help children, youths, or adults to learn. The legislative flexibility of the Special Projects Act permits the Office of Education to initiate a direct Federal funding approach in educational television and radio programming broad enough to include a range of activities, from creative planning and development to installation and utilization of programs which have clear potential for helping people to learn.

Program Operation:

OE administration of educational television and radio programming activity provided contract or grant support (contracts only from FY 76 on) for children's television programming, including the planning, production, evaluation, dissemination and utilization of programs such as Sesame Street and The Electric Company. Utiliza-

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1/ Funding from 1972 through 1975 under the Cooperative Research Act, Title IV (P.L. 83-531)

2/ Impounded funds released in FY 1974.

tion includes activities and materials designed to enhance and reinforce the effectiveness of programs as used in formal and informal educational settings, including the development and implementation of a series of strategies in specific community settings which tap the energy and concern of parents, teachers and others for using television and radio as a positive force in educational development.

Program Scope:

In FY 1976, a contract for $6.4 million was awarded to The Children's Television Workshop (CTW), producers of Sesame Street and The Electric Company, for partial support of production, formative evaluation, dissemination and utilization activities. The focus of Sesame Street has been from the beginning to use television on a regular basis to provide the Nation's 3, 4 and 5 years olds with a supplementary educational experience to help them prepare for school with some of the basic building blocks of learning. The Electric Company series is targeted at 7 to 10 year old children functioning below grade level in reading. The 130 hour long Sesame Street and 130 half-hour The Electric Company programs are shown twice a day on the 268 public broadcasting stations (plus commercial stations in areas not served by public television) in many areas and repeated again on week ends. The audience of Sesame Street is estimated at 9 - 10 million children, the majority being 3 to 5 years old. The audience for The Electric Company is estimated at 6 million students, with approximately 3 million students (grades 2 - 4) viewing the programs in classrooms.

In addition to the contract to CTW, the following contracts were awarded for a total of $1,589,702: (1) Northern Virginia Educational Telecommunications Association, Springfield, Virginia to complete production of Dial A-L-C-O-H-O-L films for grades 9 - 12; $25,311 of FY '76 funds added to original FY '75 contract to total $590,311; (2) Abt Associates, Inc., Boston, Massachusetts, to complete the utilization materials for the alcohol education films "Jackson Junior High" and "Dial A-L-C-O-H-O-L"; $35,000 of FY '76 funds added to original FY '75 contract to total $210,000; (3) Greater Washington Educational Telecommunications Association, WETA-TV, Arlington, Virginia, to design and produce a series of 10 half-hour television programs entitled "Music Is..." with accompanying teacher and student utilization materials targeted at grades 4-6. WETA has generated outside funding (approximately $500,000) for actual program production with the National Symphony Orchestra as subcontractor; $151,556 added to FY '75 contract to total $451,556; (4) Applied Management Sciences, Silver Spring, Maryland, to plan, produce, evaluate, disseminate and produce utilization materials to accompany 20 half-hour shows to help parents be more effective as "first teacher" of their children. Contract total: $1,327,835; (5) Smithsonian Institution, Washington, D.C., to produce a 30-minute film based on the Smithsonian's Traveling Exhibit: Black Presence in the Era of the American Revolution 1770 - 1800. The film will be evaluated by diverse target audiences before dissemination of final product.

Training materials and study guides will be prepared with funding from the National Endowment for the Arts, Bureau of Prisons and Foundations. Total FY'76 funds from Educational Television and Radio Programming is $50,000.

Program Effectiveness and Progress:

OE has expended over $70 million in educational television programming from FY '68 through '77. The bulk of these expenditures has been for support of Sesame Street, The Electric Company, and the Emergency School Assistance Act (ESAA-TV) programming such as Villa Alegre and Carrascolendas.

A study was initiated by OE because of the recognition that there is no clear and consistent policy regarding Educational Television Programming Support. The objectives of this study, conducted by The Institute for Communication Research, Indiana University, were (a) to review past and present programming support activities (including ESAA-TV), (b) to study secondary sources of information, e.g., professional literature, interviews of experts in the field of purposive programming including those actively involved in program development, and (c) utilizing these sources of information, to give an assessment of present OE activities and suggest alternatives for future program directions. The contractor found that OE policy is inconsistent and unclear, particularly when viewed from the perspective of several consecutive years in which program policy has changed annually. From the evidence developed in this study, the following conclusions can be derived: (a) the channel of communication between policy makers and program managers is poor, as evidenced by policy decisions made with minimal involvement of program managers and managers attempting to run the program without a full understanding of the policy rationale; (b) the traditional funding period for developmental grants and contracts (a maximum of 3 years) is probably adequate for program development but provides no means by which a successful product can be marketed; (c) allocation of fiscal resources is inequitable, i.e., the legislatively mandated allocation of funds to CTW leaves little flexibility for support of other purposive programming.

Ongoing and Planned Evaluation Studies:

None

Source of Evaluation Data:

1) *The Federal Role in Funding Children's Television Programming,* by Keith Mielke, Barry Cole, Rolland C. Johnson, Indiana University 1975.

2) *Sesame Street Revisited,* by Thomas D. Cook, Hilary Appleton, Roos F. Conner, Ann Shaffer, Gary Tamkin, and Stephen J. Weber, Russel Sage Foundation, N.Y. 1975.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Right-To-Read and The National Reading Improvement Program

Legislation:

National Reading Improvement
Program, Title VII, P.L. 93-380,
as amended by P.L. 94-194

Expiration Date:

FY 1978

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1971	$ Indefinite	$ 2,000,000
	1972	Indefinite	12,000,000
	1973	Indefinite	12,000,000
	1974	Indefinite	12,000,000
	1975	Indefinite	12,000,000
	1976	118,800,000	23,800,000
	1977	139,200,000	26,000,000
	1978	144,200,000	27,000,000

Program Goals and Objectives:

Right-To-Read is a national effort for developing and improving the reading skills of all citizens, enabling each to function effectively in our society.

It is both a legislated program and a coordinated national endeavor for promoting the involvement of all segments of society, both public and private, to ensure that in the next decade no American shall be denied a full and productive life because of an inability to read effectively.

In pursuing its goal, Right-To-Read;

- encourages the established educational agencies and teacher preparation institutions within a State to exert a coordinated and cooperative effort to solve the literacy problem through the efficient usage of the economic and human resources available within the State
- recommends a systematic process for assessing literacy needs and for developing and implementing programs to meet those needs
- provides financial assistance to local educational and nonprofit organizations for instructional programs and to State agencies for leadership and training activities

- identifies and disseminates pertinent and useful information relative to effective reading techniques, materials, instructional approaches, and organizational designs
- provides technical assistance in planning and implementing instructional and staff development programs
- enlists the involvement and support of the private sector and of government agencies for activities which impact on literacy needs

Program Operation

Within the Right-To-Read Effort, the major programmatic activity is to administer Title VII, Public Law 93-380, as amended by Public Law 94-194, which includes the following components:

State Leadership and Training Programs

These programs provide training for local Right-To-Read administrators and allow State agencies to exert leadership in achieving a solution to the literacy problem of the State. Agreements are entered into with State education agencies for the purpose of carrying out coordinated leadership and training activities designed to prepare personnel throughout the State to conduct projects which have been demonstrated in that State or in other States to be effective in overcoming reading deficiencies. These activites are limited to (1) assessments of need, including personnel needs, relating to reading problems in the State, (2) inservice training for local reading program administrators and instructional personnel, and (3) provision of technical assistance and dissemination of information to local educational agencies and other appropriate nonprofit agencies.

Reading Improvement Projects

The purpose of these projects is to develop and implement innovative reading programs for preschool and elementary school children. The preschool component is new to the Right-To-Read thrust. Both preschool and elementary programs are based on the diagnostic/prescriptive approach to reading instruction and place emphasis on early prevention of reading difficulties and the achievement of developmental objectives. A major emphasis is placed on staff development and on meeting the individual needs of all children. State and local educational agencies, nonprofit private schools, public and private nonprofit agencies, and other cultural and educational resources of the community may initiate or expand these reading programs in schools having large numbers or a high percentage of children with reading deficiencies.

Special Emphasis Projects

This component of Title VII is designed to measure the effectiveness of reading specialists and reading teachers providing intensive reading instruction for elementary school children in a classroom setting. In local school districts sponsoring these projects the intensive reading instruction is provided in an experimental school, while regular reading instructional practices are maintained in a matched control school. The two schools must serve populations with similar characteristics, and the reading approaches and curricula must be similar. A study is currently being conducted by the Office of Planning, Budgeting, & Evaluation to evaluate this component.

Reading Academies

This program provides reading instruction for in-school as well as out-of-school youths and adults not normally served by traditional local reading programs. It involves the utilization of institutions and community-based groups not ordinarily used as sponsoring agencies to provide reading instruction. The central academy recruits students, trains tutors, and provides the needed logistical support for instruction which is frequently provided on an individualized basis. Satellite academy centers established by the central academy rely heavily on the services of trained volunteers to tutor adults. Intensive recruitment efforts are made to stimulate individuals to join the reading academies for a year as tutors.

Inexpensive Book Distribution Program

A continual effort is being made throughout the Nation to achieve an awareness and an active involvement on the part of private sector agencies, which have much to offer in terms of support and services in the quest for bringing literacy to all citizens. Under Public Law 94-194, Section 726 (The Inexpensive Book Distribution Program), the U.S. Commissioner of Education is required to issue a contract to a private nonprofit group or public agency to provide an inexpensive book distribution program. This contract was awarded to Reading is Fundamental, Inc., in the fall of 1976.

The purpose of this contract is to provide reading motivation programs which include the distribution of books by gift, loan, or sale at a nominal price to children in pre-elementary, elementary, or secondary schools. The contractor establishes subcontracts with, and provides technical assistance to, private nonprofit groups or public agencies that agree to establish, operate, and provide the non-Federal share of the cost of, reading motivation programs.

National Impact Program

The National Impact Program was added to Title VII through the amendments of Public Law 94-194. This component of the program permits the development and dissemination of projects which show promise of impacting significantly on the reading deficiencies of the Nation. The following projects are provided for on a contractual basis and supplement the other program components of Title VII:

1) Dissemination Reports on Successful Practices in Reading

A contract is being developed to provide a series of six reports to be written and disseminated; each report deals with a specific topic related to reading and reading instruction.

2) Dissemination Seminars on Reading

A contract is being developed through the Small Business Administration for providing a series of seven seminars to provide focus and dissemination to critical issues in literacy. The seminars are being conducted between September 1977 and July 1978.

3) Right-To-Read Elementary Principals Training Program

The second phase of a contract has been awarded to Meta-4, a minority business corporation, to produce in audiovisual and print format a series of modules designed to provide training in reading leadership for elementary principals. Former Right-To-Read technical assistants will be involved in the design and development of this training program. Future plans include dissemination and training through the State leadership and training effort.

Program Scope

The FY 77 appropriation of $26 million represents an increase over the FY 76 level of $23.8 million.

Activity	Number of Grants/Contracts	Amount
State Leadership Program	56	$ 6,000.000
Reading Improvement Projects	130	8,540.000
Reading Academies	80	4,800.000
National Impact Projects	6	500.000
Special Emphasis Projects	7	900.000
Inexpensive Book Distribution	1	5,000.000
Evaluation	1	260.000
TOTAL	279	$26,000.000

Program Effectiveness and Progress

1. Evaluation of School-Based Right-To-Read Sites (October 1973)

The main purpose of this study was to establish whether school-based Right-To-Read projects have met their criterion of one month gain in reading achievement for each month of reading instruction. To test this, data were gathered from a sample of school-based projects located in a senior high school, junior high schools, and several elementary schools.

Twenty-eight of the 44 school-based projects met or exceeded the Right-To-Read criterion of satisfactory reading progress of one month gain in reading achievement for each month of reading instruction. Sixteen projects failed to achieve this objective, but some of this apparent failure may be attributable to inadequacies in local evaluation procedures, such as failure to obtain pre- and post-test data on the same students and the use of different reading tests when pre- and post-measures were taken.

The analysis of overall grade level gains indicates that upper grades (7-9) did not show reading gains to the same extent as did elementary grades. It may be that factors accounting for reading gains at elementary grade levels are not as effective at upper levels.

The findings showed a lack of programs being implemented at the first grade level. Since much reading activity takes place in the first grade, projects funded under Part A, Title VII, should place emphasis on the establishment of reading programs in the first grade.

Emphasis should be placed on classrooms that involve single grade levels only. The data suggest that where more than one grade level was included under a single teacher in a single classroom, learning did not take place to the same degree as in single grade level classes.

2. An Evaluation of the Community-Based Right-To-Read Program (September 1974).

The purpose of this study was to evaluate a sample of 24 Community-Based Right-To-Read Projects drawn from a group of 73 funded projects and including those that served "in school" youth (school projects) and "out of school" adults (adult projects). Evaluation objectives were: (1) to measure the improvement in reading achievement, and (2) to analyze the relationships between achievement and program, staff, and student characteristics. Data used to evaluate these objectives were collected on-site through pre- and post-tests and various survey, interview, and observation instruments.

The findings from analyses of student projects indicated that, overall, students gained significantly in reading skills during the 5-month pre/post test period. The greatest gain was achieved by students in classroom projects operating within the regular school context, as opposed to those operating outside of school or outside of school hours. While significant differences were found among the individual projects, no consistent differences were found to relate to specific programmatic features. The findings from analyses of adult projects indicated many of the same relationships.

In attempting to determine specific project characteristics that are associated with reading gains, very few definitive conclusions were reached. No significant differences were found among adult projects by type of service delivery system. English as a Second Language classes, paid tutoring projects, and volunteer tutoring projects are all able to provide effective instruction. In regard to the retention and attendance of participants in adult projects it was found that: (1) nonattendance was the primary reason for termination; and (2) regular attendance was positively related to gains in reading achievement.

These outcomes suggest that in the Reading Academies funded under Title VII: (1) considerable flexibility in determining the appropriate instructional strategy or system can be encouraged and (2) attendance schedules could be developed that will optimize the hours of instruction in terms of participants' available time.

Finally, in regard to project costs, the study revealed that adult projects had widely varying costs per student and costs per instructional hour ratios with no apparent direct relationship between cost and reading gain. It seems reasonable to suggest that guidelines or ranges of cost per student and cost per instructional hour ratios be established for planning purposes so that Academies will have standards for efficient budgeting.

3. Assessment of the State Agency Component of the Right-to-Read Program by Applied Management Sciences, Silver Spring, Maryland, June 1976.

In this study, Applied Management Sciences investigated the various activities and processes of State Agency Right-To-Read Programs, in order to determine what effect the programs have had at the State educational agency and Local Educational Agency level in the 31 States which entered the Right-To-Read Program during either 1972-73 (Phase I) or 1973-74 (Phase II of this effort). Data were collected in visits to the 31 State departments of education, three local educational agencies randomly selected from those LEA's in the State that had participated in the Right-To-Read Program for at least one year, and a mail survey of a 50 percent sample of LEA Right-To-Read Directors within each State whose programs had been affiliated with Right-To-Read for at least one year. In addition, case studies were developed which describe how these programs operate in these 31 States.

The results of this study can be summarized in one statement: the approach taken by Federal administrators responsible for the State Component of the Right-to-Read Program appears to have been successful in that the programs have achieved meaningful effects utilizing a relatively modest amount of money. Because of the similarity of data obtained across the 31 States, it may be concluded that, for the most part, the States have adopted the 16 national objectives as a viable strategy and have implemented them and their underlying activities in the same manner across the 31 States. Thus, the training and support activities provided by National Right-To-Read, and the comparatively little money provided to the States, have provided substantial impetus in developing viable State strategies in reading.

A number of outcomes from this study, identified below, support this conclusion. It should be noted that none of these outcomes relates directly to reading achievement on the part of students. This study was designed solely to assess the type and level of activities which have been fostered by the State component of Right-To-Read funding.

- State Right-To-Read Programs have made considerable efforts to involve large numbers of local districts in Right-To-Read.
- Training of teachers and LEA coordinators has been a major focus in the State Right-To-Read Programs.
- Data indicated that Right-To-Read will continue in many States even in the absence of Federal funds.
- Reading has been established as a top priority in State education agencies and in local education agencies.

The results of this study also indicated that there are several areas of the Right-To-Read Program in which improvement is needed. The findings which suggest areas of need for improvement are summarized below:

- Local district Right-To-Read programs showed fuller implementation where there was a full-time director, yet only 13 percent of the district-level programs now have full-time directors.
- Local district directors desired changes in technical assistance delivery. While the directors' initial orientation to Right-To-Read was effective, current technical assistance does not meet their present needs.
- Coordination of Right-To-Read with Adult Basic Education was found lacking in local districts, but adequate at the State level.
- To maximize effectiveness of the Right-To-Read Program, more effective communication links need to be established between the SEA component of Right-to-Read and LEA classroom teachers. Responses to questions addressed to LEA teachers and administrators as well as to SEA personnel led to this conclusion.

- The State Right-To-Read Task Force, set up by Right-To-Read Program regulations, appeared to be functioning at a minimum level in many States. Supposedly designed to serve as a coordinating unit for reading activities stemming from other SEA programs, data indicated that the State Right-To-Read Director and the State Assistant Superintendent for Instruction were performing coordinating activities, rather than the Task Force.

- Though it is a stated responsibility for State Right-To-Read Advisory Councils, these bodies were not effective in dissemination activities or in winning public support.

- Distribution of Right-To-Read services to local districts was not in agreement with national guidelines. The national guidelines specify selection of local districts for participation in Right-To-Read on the basis of geographic representation, student population, and needs assessment. However, the major criterion used to select almost two-thirds of the local districts for participation was their willingness to comply with the terms of the agreement/contract and enter the Right-To-Read Program.

- Program evaluation by SEA's was not linked to the timely accomplishment of objectives. SEA's did not emphasize assessing accomplishment of local district objectives according to a planned schedule. This must be considered a severe program weakness.

Ongoing and Planned Evaluation Studies

A contract was let in July 1976 for the purpose of determining the information requirements of the National Reading Improvement Program. The goals of this study are: (1) to establish the specific National Reading Improvement Program mangement information requirements for a management information system; and (2) to design and implement a manual/automated system that will satisfy the requirements. The attainment of these goals will enable the program to meet the mandated annual evaluation requirements as stated in Part D of Title VII. The study should be completed in fall 1977.

As part of this same contract, the contractor is performing two additional tasks. One is to evaluate the eight Special Emphasis

Projects funded in FY 76. To determine the effectiveness of intensive reading instruction provided by reading specialists in the classroom setting, standardized reading test scores and parent, student, and school personnel attitudinal and program process data are being collected. This evaluation task should be completed by December 1977. The other task is to provide OE with a design and instruments for an evaluation of the Inexpensive Book Distribution Program. This task should be completed by fall 1977.

Source of Evaluation Data

1. The Information Base for Reading, 1971.
2. Evaluation of School-Based Right-To-Read Sites, Contemporary Research, Incorporated, Los Angeles, California, October 1973.
3. Evaluation of Sampled Community-Based Right-To-Read Projects, Pacific Training and Technical Assistance Corporation, Berkeley, Calfironia, 1973.
4. Briefing Package for the ASE Management Conference, October 23, 1974.
5. Assessment of the State Agency Component of Right-To-Read, Applied Management Sciences, Silver Spring, Maryland, June 1976.
6. Study of the Information Requirements of the National Reading Improvement Program, Applied Management Sciences, Silver Spring, Maryland, July, 1976.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Alcohol and Drug Abuse Education

Legislation:

The Alcohol and Drug Abuse Education Act of 1974

Expiration Date:

FY 1977

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1971	$ 10,000,000	$ 5,610,000
	1972	20,000,000	12,400,000
	1973	28,000,000	12,400,000
	1974	28,000,000	6,700,000*
	1975	26,000,000	4,000,000
	1976	30,000,000	2,000,000
	1977	34,000,000	2,000,000
	1978	34,000,000	2,000,000

Program Goals and Objectives:

The principal purpose of the Program as defined by the authorizing Act is to help schools and communities assess and respond to alcohol and drug abuse by becoming aware of the complex nature of the problems, and to prepare them for developing strategies aimed at its causes rather than merely its symptoms. The program strongly encourages a coordinated school-community effort.

In addition to the goals and objectives specified in the legislation, the following statement of goals further specifies the Program's purpose: Goal 1: To identify, demonstrate, evaluate, and disseminate effective strategies (including curricula) for drug abuse prevention, and Goal 2: To train teachers, counselors, parents, law enforcement officials and other public service and community leaders. The program is, therefore, primarily a training and demonstration program, rather than one which provides direct services to youth.

Program Operations:

Grants are awarded to school districts and community agencies for training in planning, development and implementation of alcohol and drug abuse prevention programs.

Grants and contracts support activities such as the following: creative primary prevention and early intervention programs in development, demonstration, evaluation and dissemination of new and improved curricula on the problems of alcohol and drug abuse for use in education programs throughout the Nation; preservice and inservice training programs for teachers, counselors, law enforcement officials and other public service and community leaders; and community education programs for parents and others on alcohol and drug abuse problems.

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* Includes $1.0 million interagency transfer from SAODAP.

Program Scope:

The program components funded during FY 1975 include: School Team Drug Abuse Prevention and Early Intervention; Preservice Training for Educational Personnel; and Help Communities Help Themselves. State, College and Community Demonstration Projects were supported as 3-year demonstration efforts and are not to be continued by OE.

School Team Program Component

As of December 31, 1975, school team projects had started a variety of activities, including group and individual counseling, curriculum development, family education, peer programs where young people are trained to counsel or tutor other youth, referral services for students with personal problems, teacher training for drug abuse prevention in classrooms, and drug abuse education workshops for school and community personnel. Teams estimate that 125,562 students, 8,300 faculty and 22,600 community people have already been impacted through these programs.

Preservice Training Program Component

While the School Team Program focuses on personnel already in schools, the Preservice Program prepares future educational personnel to respond better to the needs and problems of young people which may lead to alcohol and drug abuse. Under this program, (1) six demonstration projects in colleges of education are developing and validating new methods of preservice training; and (2) 180 colleges of education were provided with training and technical assistance for establishing teacher training programs for alcohol and drug abuse prevention.

Help Communities Help Themselves Program Component

The Office of Education provided training and technical assistance to community-based teams representing youth and adults from a variety of agencies. (Community-based teams include members from health, education, social service and law enforcement agencies, in contrast to school-based teams which include only educational personnel.)

Over half of these 248 teams have already started alcohol and drug abuse prevention activities geared to the needs of their local communities. As of December 1975, teams estimated impacting 12,800 students and youth, 1,186 school faculty, and 5,545 community personnel. In addition, these community teams have raised over $3,670,000 in local or State funds to support their programs.

Fiscal Year 1976 funds continued support for the network of 5 Regional Training Centers, which provided on-site technical assistance and additional skill training to locally-based teams, and gave planning assistance to State agencies. Approximately 760 teams from local school districts and community agencies received such assistance.

The six preservice demonstration projects also received support for their last year of development. During this time they expanded their programs, assessed their impact on their colleges of education, and documented their demonstration projects for national dissemination.

Fiscal Year 1977 funds supported training and technical assistance to 40 clusters, of four schools each, in urban areas. The purpose of this new effort is to concentrate more resources in urban school districts, to enable them to establish networks for building their own prevention/education programs. In addition, support was continued for five Regional Training and Resource Centers to provide training and on-site technical assistance to local schools.

Program Effectiveness and Progress

It is too early for unequivocal evidence on the effectiveness of the Alcohol and Drug Abuse Education Program; i.e., there is no evidence that the efforts of the Program have resulted in the reduction of drug abuse in the target population. There are, however, three studies which present the results of formative evaluations on some projects supported by the Program. These are:

1. "Universe Survey of FY 1974 HCHT Teams" by E. H. White & Co., Inc., San Francisco, September 1975. Trainees in 556 teams who responded to a questionnaire sent to a total of 839 teams trained by eight USOE Regional Training Centers in drug abuse prevention indicated that: (1) trainees considered their training highly effective; (2) about half the teams were still functioning as teams in the fall of 1974; (3) 79 percent of the teams had conducted activities that were continuing to have an effect; and (4) $5.3 million was raised by the responding teams.

2. "Evaluation of the National Preservice Drug Education Program" by Abt Associates, Inc., Cambridge, Massachusetts, December 1975. This study was a formative evaluation of demonstration projects in Colleges of Education in the process of developing innovative ways of preparing future teachers for drug abuse prevention in classrooms. The study found that projects had begun to change the ways teachers were trained through faculty training, development of new curricula, and changes in the field placement experiences of 200 student teachers.

3. "An Evaluation of the School Team Approach for Drug Abuse Prevention and Early Intervention" by American Institutes for Research in the Behavioral Sciences, Washington, D.C., February 1976. This study was a formative evaluation of a sample of 33 drawn from 338 School Teams funded in FY 1974. Each School Team received weeks of intensive, residential training by means of a system of Regional Training Centers (RTC). Each Regional Training Center was designed to provide residential or "live-in" training experience as well as follow-up, on-site support so that teams could be assisted in responding to the specific needs of their local school districts. The RTC experience was designed to enable teams to develop the following abilities: (1) to assess the needs of students as they relate to drug abuse; (2) to formulate realistic objectives and strategies to meet these needs; (3) to identify local resources for supporting their drug abuse program; and (4) to adapt existing drug prevention programs and materials to meet their own local conditions.

The Study concludes that the answer to the basic question related to Center and team functioning is that they performed in an effective manner the majority of activities they were suppose to perform. Only 6 out of the 33 teams in the sample could be said to be ineffective, and in none of these cases could a failure in the training system itself be considered as the primary cause of problems they encountered. The remaining teams could be described as performing at a satisfactory level in year 1 (the year in which training was received), with 15 of them still functioning effectively as a team in year 2. There is, of course, no absolute standard against which to evaluate the overall record of team and Center achievement. If the ratio of the effective to ineffective teams holds true for all 338 teams trained in FY 74, then approximately 284 teams (.84) have had an impact in at least one area that is directly related to the objectives of OE's School Team Approach, and 216 of these teams (.64) are still acting in their schools with a variety of relevant programs and activities.

Ongoing and Planned Evaluation Studies

None

Sources of Evaluation Data:

Program Data

Studies supported by program funds as follows:

1. American Institutes for Research, "Evaluation of the School Team Approach for Drug Abuse Prevention;" 1975.

2. Abt Associates, Inc., "Evaluation of the National Preservice Drug Education Program;" 1975.

3. E. H. White and Company, Evaluation of the 1973 "Help Communities Help Themselves Program"; 1975 (originally funded by SAODAP, and monitored by the National Institute for Drug Abuse).

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Environmental Education

Legislation: **Expiration Date:**

Environmental Education Act of
1970 (P.L. 91-516); Extended by
P.L. 93-278

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1971	$ 5,000,000	$ 2,000,000
	1972	15,000,000	3,514,000 1/
	1973	25,000,000	3,180,000
	1974	25,000,000	2,000,000
	1975	5,000,000	1,900,000
	1976	10,000,000	3,000,000
	1977	15,000,000	3,500,000
	1978	15,000,000	3,500,000

Program Goals and Objectives:

The purpose of environmental education as expressed in the Environmental Education Act is to help individuals understand problems, issues, options, and policies affecting the quality of the total environment, including social, economic and cultural aspects. The Act supports the development of educational resources required to achieve these objectives among all age groups and sectors of the country.

The Act provides (1) broad authority for flexible, responsive support of environmental education development needs (rather than support of predesignated activities in schools and communities) (2) support for community group-sponsored informal education projects, and (3) environmental education training for persons in education and other fields, including those in business, industry and government whose activities may effect environment policies and activities and hence quality.

Program Operations:

The overall strategy of the Office of Environmental Education is to facilitate through technical assistance and funds the development of environmental education, e.g., environmental studies programs and educational resources devoted to educating our citizens about both the immediate and long-term interactions and impacts of activities and decisions on environmental quality. This strategy involves

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1/ Approximately $2 million withheld to cover backdated FY '72 grants.

(1) the exploration, through the grants program, of local perceptions and needs in environmental education, (2) the development, through contracts, of basic source materials to facilitate the design of effective content and process resources, (3) the support, through grants and contracts, of projects which promise to enhance the state of the art and to have utility throughout the country or in major sections of the country, and (4) the support of activities for the effective delivery of resources to the user.

Program Scope

In FY 76, program funds amounting to about $2.6 million were used to support a total of 90 environmental education projects. These included resource material development, personnel training, and community education in urban, suburban and rural areas in 44 States, territories and the District of Columbia. By kinds of projects the breakdown of grants awarded is as follows:

a.	Resource Material Development	-- 23
b.	Personnel Development	-- 15
c.	Community Education	-- 11
d.	Elementary and Secondary Education	-- 10
e.	Minigrant Workshops	-- 31

It is estimated that up to 5,500 people have been provided direct training through these projects. Projects funded under the Environmental Education Act during the past 5 years and those funded through other OE programs are being reviewed for possible dissemination. In addition, the Office of Environmental Education has awarded one contract totaling approximately $450,000. The contractor will analyze current environmental education resources and needs to improve assistance to local project planners/developers.

Technical or non monetary assistance activities have included (1) assisting OE regional and headquarter program administrators in developing resources and expertise, and (2) assisting other Federal agencies, schools and communities interested in educational programs relating to environmental quality.

Program Effectiveness and Progress

No evaluation of the impact of this program has been conducted.

Ongoing and Planned Evaluation Studies:

None planned at this time.

Source of Evaluation Data:

OEE Program Data

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name

Revision of Impacted Areas as it Relates to Indian Children (Payments to LEA's for Indian Education)

Legislation	Expiration Date
Indian Education Act of 1972 P.L. 92-318, Part A	July 1, 1978

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	FY 73	$196,177,204	$ 11,500,000
	FY 74	208,000,000	25,000,000
	FY 75	235,000,000	25,000,000
	FY 76	441,242,000	35,000,000
	FY 77	476,263,078	37,000,000
	FY 78	550,000,000*	38,850,000

Program Goals and Objectives

Part A of the Indian Education Act provides financial assistance to local educational agencies (LEA's) and non-LEA's for elementary and secondary education programs to meet the special educational needs of Indian and Alaska Native children. In addition, a special provision in the Act allots not more than 10 percent of the amount appropriated for LEAs to Indian controlled schools located on or near reservations.

The law indicates that its purpose is to provide grants on a formula basis to local school systems for (1) planning and other steps leading to the development of programs specifically designed to meet the special educational needs of Indian children, including pilot projects designed to test the effectiveness of these programs; and (2) the establishment, maintenance, and operation of programs, including minor remodeling of classroom or other space used specifically for such programs, and acquisition of necessary equipment.

The immediate program goal is to raise the per pupil expenditure by about $120 per child. The long-range program goal is to supplement per pupil expenditures in the amount of $300 by FY 81, for approximately 375,000 Indian children enrolled in eligible LEA's. Funds from these grants are also intended to provide teachers and teacher aides in the basic skill areas of reading and mathematics; new supportive services, including home liaison and guidance and counseling services; and bilingual/bicultural activities.

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* Estimated amount

Program Operations

Grants are made to applicant LEA's on an entitlement basis according to the number of Indian or Alaska Native students enrolled multiplied by the State average per pupil expenditure. For any fiscal year an amount not in excess of the 10 percent of the amount appropriated for LEAs under Part A will be expended for non local educational agencies.

If the sums appropriated for any fiscal year for making payments under this title are not sufficient to pay in full the total amounts which all local educational agencies are eligible to receive for that fiscal year, the maximum amounts which all such agencies are eligible to receive shall be ratably reduced.

Monies appropriated under Part A of the Indian Education Act are used for:

1. Grants to local education agencies which provide free education to Indian children, and

2. Financial assistance to schools on or near reservations which are non local educational agencies in existence for more than 3 years.

Program Scope

Data from the 1977 Indian enrollment/entitlement computation indicated that over 3000 local educational agencies would be eligible for funding under Part A, Title IV, P.L. 92-318. during Fiscal Year 1977, eligible agencies applied for funds to plan, develop, and/or operate programs designed to meet the special educational needs of Indian children. Of the 1126 applications received, 1,029 grants were awarded. (During fiscal year 1977, approximately 296,123 children were enrolled in LEA's receiving Part A grants). These grants average approximately $113 per child. At the time of this writing, the 1977 non-LEA grants were not yet awarded.

Projects funded under this part range from part-time ancillary services to full-time basic education and cultural enrichment programs. Activities are determined by the LEA's based on needs and population concentrations. In order to assure the most effective operation of this service program for Indian children, the following activities were performed by the Office of Indian Education in FY 77:

1) So that program funds focus on addressing the special educational needs of Indian children as specified in the legislation, a technical review of applications for both LEA's and non-LEA's was conducted to insure compliance with the provisions of the law. In addition, as projects are funded, a monitoring system for insuring adequate program management was implemented. During the period of project performance, as program administration resources permit, site visits were made to selected project sites and technical assistance is offered to projects requesting it. A national conference with grantees was held to insure the maximum dissemination of information relating to quality educational practices.

2) To insure full participation of the Indian community in the planning, implementation, and evaluation of these projects, a management reporting system was instituted in which Indian parent committees reviewed and reported on the management of Part A LEA grants. This objective was supported by the development of a "Part A, Parent Committee Information Kit" which provided detailed information on the planning, development and operation of programs under Part A.

3) To identify successful or promising educational practices, an extensive review was conducted for both LEA's and non-LEA's or project cost and performance data in accordance with acceptable educational criteria.

4) To insure educational reform in Indian controlled (non-LEA) schools, an intensive planning program, fully coordinated with the Bureau of Indian Affairs, was established. Specific objectives include identification and dissemination of quality educational products and processes, testing of the effects of funding levels up to $2,000 per child in a unique educational environment and evaluation of academic, economic and social progress obtained through such a program.

5) To upgrade the quality of educational evaluation at the local level, an Indian Education Evaluation Handbook, containing an extensive system for self-evaluation of educational programs, was disseminated to all grantees for their use.

Ongoing and Planned Evaluation Studies

An evaluation of this program is presently being implemented. This study commenced in July 1976 and will be approximately two and one-half years in duration. This evaluation of the effectiveness of the programs and projects funded under Part A of the Indian Education Act is chiefly an evaluation of the implementation of these programs and projects combined with a feasibility determination of establishing evaluation criteria which will support future impact evaluation of these programs and projects in subsequent years. This evaluation study will identify those nonfiscal obstacles to the programs and projects preventing them from achieving their full potential. The evaluation and feasibility study is not intended to restate the shortcomings of the American educational systems in meeting the special needs of native American children, but to document the progress made in relation to the funds committed and to recommend administrative or legislative improvments that may be required to remove specified obstacles of the programs.

Sources of Evaluation Data

Program Review Materials

Program Audits

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Special Programs and Projects to Improve Educational Opportunities for Indian Children

Legislation	**Expiration Date**
Indian Education Act of 1972 P.L. 92-318, Part B	July 1, 1978

FUNDING HISTORY	**YEAR**	**AUTHORIZATION**	**APPROPRIATION**
	FY 73	$ 25,000,000	$ 5,000,000
	FY 74	35,000,000	12,000,000
	FY 75	35,000,000*	12,000,000
	FY 76	35,000,000*	16,000,000
	FY 77	37,000,000*	14,080,000
	FY 78	37,000,000*	14,400,000

Program Goals and Objectives

The law indicates that its purpose is to authorize discretionary grants to Indian tribes and organizations as well as to State and local educational agencies for use in special programs and projects to improve educational opportunities for Indian children. These include (1) supporting planning, pilot, and demonstration projects designed to test and demonstrate the effectiveness of programs for improving educational opportunities for Indian children, such as bilingual/bicultural educational programs, programs dealing with special health, social, and psychological problems of Indian children; (2) activities assisting in the establishment and operation of programs designed to stimulate the provision of educational services not available to Indian children in sufficient quantity or quality, such as guidance, counseling, and testing services; and the development and establishment of exemplary educational programs to serve as models for regular school programs in which Indians are educated, such as remedial and compensatory instructional programs; (3) assisting in the establishment of preservice and inservice training programs to improve the qualifications of persons serving Indian children, such as teachers, teachers aides, social workers, and other educational personnel; (4) encouraging the dissemination of information and materials concerning educational programs, services, and resources available to Indian children, and evaluation of the effectiveness of educational programs which may offer educational opportunities to Indian children.

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* In addition to the authorized amount, up to 200 Fellowships can be awarded. See Program scope section for actual awards and areas of fellowship awards.

The long range program goals are to:

1. fill existing gaps in the provision of educational services to Indian children. The emphasis given to such a service orientation will be dependent on Johnson-O'Malley and Title I funding strategies.

2. establish an adequate number of validated approaches toward meeting the special educational needs of Indian children.

The shorter or immediate program goals are to:

1. develop model programs for public schools, and alternative schools, and to develop a dissemination and public school impact network to insure the transfer of educational delivery systems from the model and demonstration stages to schools.

2. provide innovative and capacity building efforts in areas of educational need having high priority on a national basis.

3. provide basic educational services which will address those needs that are not being met by other programs intended for Indian children.

Program Operations

Part B of the Indian Education Act authorizes grants to support planning, pilot, and demonstration projects; educational services not otherwise available; and the dissemination of information and materials. Upon receipt and approval of applications, grants are made on the basis of national competition, to Indian tribes, organizations and institutions, State and local educational agencies, and Federally supported elementary and secondary schools for Indian children. The applications fall into the general area of cultural and educational enrichment programs and services.

Established criteria require that applications include the following:

1. a statement describing the activities for which assistance is sought

2. information showing that the purpose and scope of the proposed project fall within the scope and intention of Part B of the Indian Education Act

3. provisions for training of the personnel participating in the project

4. provisions for evaluating the effectiveness of the project in achieving its purpose.

The strategy for Part B projects is to address the needs of the Indian community by acquiring local Indian community support. Because both Indian community and school system personnel are involved in most projects from the needs assessment through the final evaluation, the entire project develops as a venture which is based on coordination of effort to achieve a specific goals.

Program Scope

In Fiscal Year 77, only 357 Part B applications were received and 69 Part B grants were awarded. However, during Fiscal Year 1976, the Office of Education received 500 applications to support planning, pilot, and desmonstration projects. 160 applicants received awards. The approved projects dealt with the development of bilingual/bicultural programs,instructional materials and media centers, compensatory education, cultural enrichment, dropout prevention, and vocational training. In addition, 104 fellowships were awarded in the areas of medicine, law, business, forestry, engineering, and related areas.

In general, most funded districts' projects reflected the special educational needs of the local communities. A majority of the grantees under Part B designed their projects to attempt to meet the most compelling of these needs. Based on rather sparse data, the most effective projects are those which invest the largest dollar amounts on special staff - professional, paraprofessional, and nonprofessional. The most effective staff members appear to be those who have special abilities to perform successfully in areas that address the special needs of Indian students, and who have the necessary qualities of awareness and sensitivity to Indian students.

Ongoing and Planned Evaluation Studies

No evaluation studies are currently planned for this program.

Sources of Evaluation Data

Program Review Materials

Program Audits

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name

Special Programs Relating to Adult Education for Indians

Legislation	Expiration Date
Indian Education Act of 1972 P.L. 92-318, Part C	July 1, 1978

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	FY 73	$ 5,000,000	$ 500,000
	FY 74	8,000,000	3,000,000
	FY 75	8,000,000	3,000,000
	FY 76	8,000,000	4,000,000
	FY 77	8,000,000	4,000,000
	FY 78	8,000,000	4,410,000*

Program Goals and Objectives

The statue indicates that the purpose of this program is to provide assistance to State and local educational agencies and to Indian tribes, institutions, and organizations to support planning, pilot, and demonstration projects serving adult Indians. Such programs include (1) those which enable participants to obtain high school diplomas, improve their communication skills, and participate in career development activities, (2) research and development programs to create more innovative and effective techniques for achieving the literary and high school equivalency goals; (3) surveys and evaluations to define accurately the extent of the problems of illiteracy and of failure to complete high school among adults on Indian reservations; dissemination of information concerning educational programs, services and resources available to Indian adults; and (4) to encourage the dissemination of information and materials relating to and the evaluation of the effectiveness of, education programs which may offer educational opportunities to Indian adults.

The long-range goal of Part C of the Indian Education Act is to reduce illiteracy among Indian adults by providing high school equivalency diploma training to 30 percent of the adult Indian population between the ages of 20 and 59 by 1981 and to have served validated models in basic literacy and GED training available for installation as service programs.

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* House-Senate Conference Report.

The shorter range goals or immediate objectives of the program are:

1. to increase the number of high school equivalency diploma (GED) graduates and enrollment in continuing education programs through the use of culturally relevant materials.
2. to develop, test, and implement innovative and effective educational models and teaching strategies for achieving literacy and high school equivalency. To meet this objective, projects will be funded in such areas as curriculum development, teaching techniques, and adult equivalency testing. Areas of high relevancy to Indian communities, such as legal education, consumer education and vocational counseling and education will be used as course content to develop adult basic education programs.
3. to coordinate with adult education and GED programs administered by other Federal agencies.

Program Operations

Upon receipt of applications, grants are made to State and local educational agencies, Indian tribes, institutions, and organizations. The projects are designed to plan for, test and demonstrate effectiveness of programs for adult education for Indians. The projects are intended to assist in the establishment and operation of programs which are designed to provide basic literacy opportunities to all Indian adults to qualify them for high school equivalency certificates in the shortest period of time.

Program Scope

In Fiscal Year 77, 182 Part C applications were received and 53 Part C grants were awarded. However, during fiscal year 1976, the Office of Education received 138 applications to support planning, pilot, and demonstration projects. Sixty-one (61) applicants received grant awards. In general, applications consisted of proposed pilots and demonstration projects designed to improve the employment and educational opportunities of adult Indians.

As contrasted with FY 76 and FY 77 project awards, 42 and 53 Part C project awards were made in FY 74 and FY 75.

While many influences undoubtedly contributed to the growth in applications, two major factors, closely related to the language and intent of the Act, should be considered.

One contributing factor is the Title IV definition of Indian. Under this evaluation, Indian (such as urban, terminated and State-recognized Indians) who were formerly ineligible to participate in Bureau of Indian Affairs programs can be served under the provisions of Title IV. Thus, school district administrators and members of the Indian community may view Title IV funding as a highly desirable means of meeting the special needs of Indian students. Parents and children who are Indian, but cannot qualify for tribal enrollment or Bureau of Indian Affairs benefits because they do not meet blood quantum requirements, have recognized a source of educational support and have claimed their Indian identity in order to participate in the Title IV program.

Another factor is that the structure of Indian culture is so diverse that extensive funding problems are created by the inability to generalize effective educational practices to the overall Indian community. There are 467 recognized Indian tribes and bands, many of whom have entirely different cultural patterns. For example, an effective education practice for the Northern Cheyenne or one of the other Northern plains tribes may require extensive modification to work effectively for the Lumbees in the East.

Ongoing and Planned Evaluation Studies

No evaluation studies are currently planned for this program.

Sources of Evaluation Data

Program Review Materials

Program Audits

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name

Metric Education

Legislation	**Expiration Date**
P.L. 93-380, Title IV, Part C, Sec. 403	September 30, 1978

FUNDING HISTORY	**YEAR**	**AUTHORIZATION**	**APPROPRIATION**
	1975	$ -0-	$ -0-
	1976	10,000,000	2,090,000
	1977	10,000,000	2,090,000
	1978	10,000,000	2,090,000

Program Goals and Objectives

The Act states that the program's purpose is to encourage educational agencies and institutions to prepare students to use the metric system of measurement as part of the regular educational program. The Regulations for this program state its goals as follows: 1) to identify, assess, and disseminate information on metric education curricula as well as to provide support for the development of metric education curricula in elementary and secondary schools, institutions of higher education, and State education agencies; 2) to prepare teachers to teach the use of the revised metric system of measurement on an interdisciplinary basis; and 3) to develop and disseminate curricula materials and practices for special learner populations.

Program Operations

This program solicits proposals for grants and/contracts for the following activities: 1) inservice and/or preservice training of teachers; 2) state- and multi-state metric educational planning; 3) mobile metric education; 4) development and dissemination of materials; 5) mass media development; and 6) school-based interdisciplinary projects with a concurrent training of parents and other adults from the general population.

Program Scope

Five contracts and 73 grants were awarded by this program from the FY 76 appropriation. These grants will terminate between June 30, 1977, and September 30, 1977.

Fiscal Year 1977 budget negotiations are presently underway with 71 potential grantees who have been recommended for funding. Most of these grants will commence on July 1, 1977, and continue for 12 months.

The target populations for the program's thrust are: Native Americans, bilingual, and elderly, handicapped and correctional students as well as teachers, teacher trainers, parents and other adults from the general population.

Program Effectiveness and Progress

No evaluation of this program has been conducted.

Ongoing and Planned Evaluation Studies

None

Sources of Evaluation Data

Program Reports

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name

Gifted and Talented Children

Legislation	**Expiration Date**
P.L. 93-381, Section 404	June 30, 1978

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1975	Commissioner's S&E	$ 50,000
	1976	$12,250,000	2,560,000
	1977	12,250,000	2,560,000
	1978	12,250,000	2,560,000

Program Goals and Objectives

The Act indicates that the purpose of this program is to provide educational services to gifted and talented children. The program regulations specify the following objectives.

A. The development and dissemination to the public of information pertaining to the education of gifted and talented children and youth

B. Grants to State and local educational agencies for the planning, development, operation, and improvement of programs and projects designed to meet the special educational needs of the gifted and talented at the preschool, elementary and secondary school levels.

C. Grants to State education agencies for training personnel engaged, or preparing to engage, in educating the gifted and talented or as supervisors of such persons

D. Grants to institutions of higher education or other appropriate nonprofit agencies for training leadership personnel (including internships) in the education of the gifted and talented

E. Contracts with public and private agencies for the establishment and operation of model projects for the identification and education of the gifted and talented.

Program Operations

This grant program operates with discretionary funds only, i.e., no State plans or formulas are required.

Fund recipients are expected to conduct a comprehensive ongoing evaluation as well as a final evaluation of the program or project.

Program Scope

The following activities were supported through FY 77 expenditures:

A. One contract was awarded for the development and dissemination of information pertaining to the education of gifted and talented youth.

B. Eleven new awards were made to States and 20 SEA awards were continued; 17 grants to local education agencies were awarded for the planning, development, operation and implementation of programs and projects designed to meet the special needs of gifted and talented children.

C. Approximately 50 percent of the awards to State Departments of Education include project components for the preservice and inservice training of educators of the gifted and talented or supervisors of such persons.

D. Two continuation and two new awards were made to institutions of higher education for training leadership personnel (including internships) in the education of the gifted and talented.

E. Five continuation contracts were awarded to public and private agencies for the operation of model projects for the identification and education of gifted and talented youth.

Program Effectiveness and Progress

No systematic program effectiveness data currently exist.

Ongoing and Planned Evaluation Studies

No agency evaluation is currently planned for this program.

Sources of Evaluation Data

Individual project evaluation is required by the program regulations. These evaluations together with periodic program reports will serve as a data source for determining program effectiveness and progress.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Community Education

Legislation:	**Expiration Date:**
Education Amendments of 1974, P.L. 93-380, Section 405	June 30, 1978

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1975	-0-	-0-
	1976	$ 17,000,000	$ 3,553,000
	1977	17,000,000	3,553,000
	1978	17,000,000	3,553,000

Program Goals and Objectives:

The goals of the community education program as defined by the Community Schools Act and reiterated in the regulations are to meet the unique needs of any community by:

1. promoting greater utilization of public education facilities through an extension of school buildings

2. providing educational, recreational, cultural, and other related community services in accordance with the needs, interests, and concerns of the community

3. promoting interagency cooperation thereby saving money that results from costly duplication of effort.

Program Operations:

Discretionary competitive grants are made to State and local educational agencies to pay the Federal share of the cost of planning, establishing, expanding, and/or operating community education programs. In addition, funds are made available to institutions of higher education to develop and establish or to expand programs which will train persons to plan and operate community education programs. Other components are the establishment of a clearinghouse to disseminate information and the provision of technical assistance to each community education program as needed. Operation of the clearinghouse was initiated in FY 77.

Local program grant recipients receive different Federal shares based upon the status of their program. The Federal share is:

- 80 percent of a program to establish a new community education program
- 65 percent of a program to expand or improve a community education program
- 40 percent of a program to maintain or carry out a community education program

Program Scope:

93 grants have been awarded in Fiscal Year 1977:

Institution	Amount of Appropriation	No. of Grants
LEA	$ 1,564,000	48
SEA	1,564,000	34
IHE	425,000	11

Though authorized, no funds were appropriated for this program in FY 75. The same breakdown for grant awards was used in FY 76 and is anticipated for FY 78.

Ongoing and Planned Evaluation Studies:

The Community Schools Act mandates that the Community Education Advisory Council present to Congress a "complete and thorough evaluation of the programs and operation" of the Community Education Program. To fulfill this requirement, the Advisory Council and the Office of Planning, Budgeting, and Evaluation are jointly funding this evaluation. In May 1977, a contract was awarded to Development Associates, Inc., to conduct the study. The objectives of this study are to describe the organization and operation of LEA, SEA, and IHE projects funded under the program, and to evaluate their impact at the local and State level. Survey data will be collected late in 1977 from all projects refunded in FY 77 for their second year of operation. A sample of about 20 of these projects will be site-visited to obtain a more detailed picture of how Federal program objectives have been translated into project activities. A final report will be presented to Congress in the Spring of 1978 when renewal of authorizing legislation will be considered.

Source of Evaluation Data:

Program Reports

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name

Consumers' Education

Legislation	Expiration Date
P.L. 92-318, Section 811 (as amended by P.L. 93-380)	June 30, 1978

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1977	$ 15,000,000	$ 3,135,000
	1978	15,000,000	3,135,000

Program Goals and Objectives

The Regulations and the Act specify the goals of this program as follows:

> To provide grants and procurement contracts will be issued for the purpose of identfying, assessing, and disseminating information on existing curricula in consumer's education; and to establish resource centers which will provide technical assistance, information, and short-term training to agencies, institutions and community groups in the implementing of consumers' education programs. Grants and procurement contracts will be issued for the purpose of planning, establishing, expanding, and/or improving model community education programs in consumers' education which are designed to provide consumers' education to the general public in one or more coummnities. Grants and procurement contracts may also be issued for the purpose of providing short-term preservice or inservice training for teachers and other educational and noneducational personnel at the elementary and secondary school levels and in consumers' education programs in communities.

Program Operations

The program operates with discretionary funds which are used to support selected proposals following a panel review. There are no restrictions as to the geographical distribution of funds. Projects are designed to prepare consumers for participation in the marketplace by imparting the understanding, attitudes, and skills which will enable persons to make rational and intelligent consumer decisions in the light of their personal values, their recognition of marketplace alternatives and social, economic, and ecological considerations.

The target populations are identified as follows: (1) bilingual, (2) elderly, (3) Indian, (4) handicapped, and (5) correctional.

Program Scope

Fifty-five grants and 33 procurement contracts will have been awarded by this program in fiscal year 1977. Twenty-eight States and the District of Columbia are represented in the 55 grant awards. Fifteen of these applications represent re-submissions from fiscal year 1976 grantees.

The following table gives the distribution by agency type of the 55 grant awards and a similar breakdown of all 676 applications.

Comparison of Agency Types, All Applicants and Top 55, Office Of Consumers' Education, Fiscal Year 1977

Agency Type	All Applicants		Top 55 Rankings	
	No.	%	No.	%
State Education Agency (SEA's)	15	2.2	1	1.8
Intermediate Units	12	1.8	2	3.5
Local Education Agency (LEA's)	85	12.6	4	7.0
Institutions of Higher Education (IHE's)	201	29.7	18	32.6
(2 year)	(39)	(5.8)	(3)	(5.3)
(4 year)	(162)	(23.9)	(15)	(26.3)
Other Public or Private Non-Profit Agency (OPPNA's)	363	53.7	32	56.1
TOTAL	676	100	57	100

A further breakdown of the 32 OPPNA's on the list of the total 57 proposals indicates the following:

From Public Agencies:

1	State Office of Consumer Affairs/Consumer Council
2	City Department of Human Resources/Housing Assistance

From Nonprofit Agencies:

10	Community Action/Community Service Agencies
8	National Organizations (3 Consumer, 2 Education, 1 Nutrition, 1 for handicapped, 1 Automobile Owners)
4	Indian Coalitions or Tribes
3	Education/Research/Service Agencies

3 Citizens' Action Groups (Energy focused)
1 Labor

Furthermore, there are projects to meet the needs of low-income people, both urban and rural; to work with the elderly in several settings; to bring consumer education to groups whose first language is Spanish, to Native Americans on and off reservations, and to trade unionists.

Over 1,000 teachers and people in key educational positions will have received training on consumer education topics ranging from effective family budgeting all the way to ways of judging advertising and promotional techniques designed to trap the unwary. Particular emphasis upon State leadership and the subsequent need for policy on consumer education will identify and clarify issues and problems statewide. In community and other nonprofit agencies, the stress is placed upon over 1,200 service providers with training and development activities designed to improve their consumer educational effectiveness with regard to specific target groups such as the elderly, handicapped, and low income, rural and urban populations. The focus upon institutional capacity building activities is evidenced in almost all projects by the direct emphasis on the service provider rather than the individual consumer.

The procurement contracts will provide information to the Office of Consumers' Education about major tasks the legislation identifies as critical. The first general area is that of resource centers and delivery systems appropriate and effective for consumer educators. The second general focus is upon specific needs which ermerged from the grant application process, such as materials for low income, the handicapped, and elderly consumer agencies. Particular stress is also being placed upon the unique human services as topics for consumer educators in addition to the role of consumers regarding regulatory agencies and public utilities.

A very small dissemination system for the results of these procurement contracts has been developed and implemented with the Office of Consumers' Education.

Program Effectiveness and Progress

There were 700 applications in fiscal year 1977 for support, of which 676 were eligible applications. Of this latter total, 55 were funded. The lower number of grantees in fiscal Year 1977 (57 from that of Fiscal Year 1976 (66), the first year of the program, is due to the larger average amount of the Fiscal Year 1977 grant awards. In Fiscal Year 1976 the average grant award was $44,000 compared to this year's $53,000. A similar number of applications is anticipated in Fiscal Year 1978 with approximately the same number funded. No comment can be made as to the effectiveness of the program since it is forward funded and the grantees are just now finishing their first year of operations. It is expected that the Rules and Regulations of the first year will be used for the third year.

Ongoing and Planned Evaluation Studies

None.

Sources of Evaluation Data

Interim and final reports from ongoing projects.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name

Women's Educational Equity

Legislation

P.L. 93-380, Section 408

Expiration Date

June 30, 1978

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1975	$ -0-	$ -0-
	1976	30,000,000	6,270,000
	1977	30,000,000	7,270,000
	1978	30,000,000	8,085,000

Program Goals and Objectives

In accordance with the Act, the purpose of the program is to provide educational equity for women in the United States.

The program defines its goals as:

A) The elimination of discrimination on the basis of sex and of those elements of sex role stereotyping and sex role socialization in educational institutions, programs, and curricula which prevent full and fair participation by women in educational programs and in American society generally.

B) The achievement of responsiveness by educational institutions, programs, curricula, policy makers, administrators, instructors, and other personnel to the needs, interests, and concerns of women arising from inequitable educational policies and practices.

Three strategies to implement these goals are:

A) Systemic change by eliminating those elements of sex role stereotyping and sex role socialization which separately, and more importantly, together and over time limit the aspirations, experiences, and options of women.

B) Institutional change through the elimination of discriminatory practices and policies in educational agencies, organizations, and programs which may be contrary to Federal statutes, executive orders, and regulations.

C) Supplementary activities for individuals through special educational opportunities and support services.

Program Operations

The program may receive applications or proposals from any public agency, private nonprofit organization, or individual. They are reviewed by panels which are broadly representative of the concerns of the program. The most highly rated applications are funded, within the mandated requirements both for appropriate geographical distribution and for projects at all levels of education, as well as the regulatory requirement for projects which collectively represent to the extent possible the diverse needs and concerns in educational equity for women. This program, under the Commissioner's approval, is entirely discretionary.

Program Scope

Sixty-seven grants and 5 major contracts were funded in FY 76. In FY 77 an estimated 20 projects will be continued and 70 new awards made. The program aims at both children and adults, both women and men; ethnic, regional, socioeconomic groups; educational personnel as well as parents, students, and concerned citizens.

Program Effectiveness and Progress

Regulations were published on February 12, 1976. For an amendment to these regulations, an Advance Notice of Proposed Rulemaking was published on October 21, 1976, and a Notice of Proposed Rulemaking on April 1, 1977. The final Amendment to the Regulation will be published on July 11. No information on effectiveness will be available for at least a year.

Ongoing and Planned Evaluation Studies

The National Advisory Council on Women's Educational Programs has a mandated responsibility to evaluate programs and projects. At this time, there are no other plans for such evaluation. There is a contract to develop measurement instruments and to do representative case studies needed to assess program strategies.

Sources of Evaluation Data

Program Reports

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name

Education in the Arts

Legislation	**Expiration Date**
P.L. 93-380, Section 409	June 30, 1978

FUNDING HISTORY	**YEAR**	**AUTHORIZATION**	**APPROPRIATION**
	1975	-0-	
	1976	Not less than $ 750,000	$ 750,000
	1977	Not less than 750,000	$ 1,750,000
	1978	Not less than 750,00	$ 1,750,000* (proposed)

Program Goals and Objectives

The legislative intent for this program is to encourage and assist State and local education agencies to establish programs in which the arts are an integral part of elementary and secondary school programs. The program purpose, in accordance with the published regulations, is to:

(1) Encourage the development, in students, of an aesthetic awareness in the arts

(2) Foster self-actualization and the development of communicative skills through movement, sound visual images, and verbal usage

(3) Involve each student in each school covered by the application in enjoyment, understanding, creation, and evaluation of, and participation in, the arts

(4) Address the spectrum of art forms, including at least dance, music, drama, and the visual arts

(5) Integrate these art forms into the regular educational program as distinguished from treating them on an extra-curricular or peripheral basis; and

(6) Infuse the arts into the curriculum to enhance and improve the quality of aesthetic education offered, and expand the use of the arts for cognitive and affective learning experience.

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* An additional $250,000 for Arts for the Handicapped has been proposed by the House Appropriations Subcommittee.

Program Operations

Grants are awarded to State and local educational agencies on a competitive basis. The John F. Kennedy Center for the Performing Arts through the Alliance for Arts Education, assists with the review of proposals and provides a variety of forms of technical assistance to grant recipients.

Projects funded tend to combine a variety of activities designed to integrate an appreciation of the arts with educational practices. These activities focus on students as well as on teachers (e.g., through training programs) and other education practitioners (e.g., through State and local conferences).

Program Scope

The program used some Salary and Expense monies in FY 75 to conduct regional conferences and workshops, and to assist States in planning for arts educational programs. Rules and regulations were published in April 1976 and grants were awarded for the first time under this program in July 1976 to 89 recipients: 41 State Departments of Education, one Bureau of Indian Affairs agency, three Trust Territories, and 44 local education agencies in 31 States. At the State education agencies, projects funded included a combination of activities such as mini-grants programs for local school districts, statewide conferences to promote the concept of arts in education, state-wide teacher training activities and publication of newsletters. Local educational projects funded were designed to impact upon one school as well as on a number of schools, and included many of the same activities. Other activities designed to operate at the school level, such as artists in residence programs, were also included in LEA plans.

In the fall of 1976 Congress appropriated an additional $1 million under the program, over and above $750,000 for FY 77 grants to State and local education agencies. This additional $1 million was provided specifically for: the Alliance for Arts Education ($750,000) and the National Committee/Arts for the Handicapped ($250,000). The FY 77 grants have not as yet been made.

Program Effectiveness and Progress

No evaluation of this program has been performed.

Ongoing and Planned Evaluation Studies

None

Source of Evaluation Data

Program Reports

APPENDIX A

LISTING OF EDUCATION PLANNING AND EVALUATION ACTIVITIES: FY 1977

December 15, 1977

LISTING OF EDUCATION PLANNING AND EVALUATION ACTIVITIES: FY 1977

Required by Section 417(b) of the General Education Provisions Act, P.L. 93-380, as amended

Listing of Contracts (including brief description, name of contractor, and funding history)

Page
10000 Series: Elementary & Secondary Education . . . . A 3
20000 Series: Vocational and Adult Education A11
30000 Series: Higher Education A13
60000 Series: Libraries and Educational Technology A17
80000 Series: General A18
90000 Series: Miscellaneous A19

- This listing includes all contracts containing FY 1977 or 1978 funds plus all contracts any part of the performance of which occurred during FY 1977.

- "ED" numbers indicate ERIC accession numbers of reports. "ED's" with no numbers indicate that reports have been sent to ERIC but are not yet accessible as of the date of this run.

- All funds are "P&E" unless otherwise indicated under "Description of Contract."

- FY 78 funds shown are Title I monies obligated July through September 1977.

SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF DECEMBER 15, 1977

SER. NO.	PROJ. CODE	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES		PROJCT MONITOR & ORGANIZATION	OBLIG. DOLLARS
1. ELEMENTARY & SECONDARY EDUCATION							
13007		HEW-OS-73-216 COMPLETED--REPORT AVAILABLE ED099957,100324-31,100431-32 FUNDING HISTORY, FY 73: 1186419 74: 60899 75: 92134	A STUDY OF CHANGE-AGENT PROGRAMS (INCLUDES $486,250 FY 73 S&E FUNDS)	THE RAND CORPORATION SANTA MONICA CAL. 6/30/73 TO 4/30/77	(N)	BEZDEK OPBE	1339452
13002		OEC-0-73-0831 ED101017,117229,133360-62 FUNDING HISTORY, FY 73: 981691 74: 1067568 75: 736099 76: 319773	LONGITUDINAL EVALUATION OF THE EMERGENCY SCHOOL ASSISTANCE ACT PILOT PROGRAM (ESAA FUNDS)	SYSTEM DEVELOPMENT CORP. SANTA MONICA, CAL. 2/14/73 TO 3/31/78	(P)	SHOEMAKER OPBE	3105131
13005		OEC-0-73-6336 ED101017,117229,13360-2 FUNDING HISTORY, FY 73: 1370909 74: 1421432 75: 1520819 76: 479660	EVALUATION OF THE EMERGENCY SCHOOL AID ACT BASIC LEA PROGRAM (ESAA FUNDS) (INCLUDES $22,600 FY 73 S&E FUNDS)	SYSTEM DEVELOPMENT CORP. SANTA MONICA, CAL. 6/ 1/73 TO 3/31/78	(P)	SHOEMAKER OPBE	4792820
14003		OEC-0-74-9262 COMPLETED--REPORT AVAILABLE ED133412,3,143727 FUNDING HISTORY, FY 74: 238095 75: 99958 76: 149876	EVALUATION OF TITLE IV OF THE CIVIL RIGHTS ACT OF 1964	THE RAND CORPORATION SANTA MONICA CAL. 6/27/74 TO 4/15/77	(N)	YORK OPBE	487929
14004		OEC-0-74-9256 COMPLETED--REPORT AVAILABLE ED122273-5,122460,142564,68,69 FUNDING HISTORY, FY 74: 829228 75: 876160 76: 65985	EVALUATION OF THE FIELD TEST OF PROJECT INFORMATION PACKAGES (PIPS FUNDS IN FY '75 & FY 76)	STANFORD RESEARCH INSTITUTE MENLO PARK, CALIF. 6/30/74 TO 3/31/77	(N)	BEZDEK OPBE	1771373
14005		OEC-0-74-9331 ED123893,4,138090,1 FUNDING HISTORY, FY 74: 828312 75: 500000 76: 683967 77: 57981	EVALUATION OF THE BILINGUAL ED PROG (INCLUDES 500K SEC 232 FUNDS IN BOTH FY 74 & FY 75) (SEE ALSO 16010)	AMERICAN INSTITUTES FOR RESEARCH PALO ALTO, CAL. 6/30/74 TO 3/31/78	(N)	SHOEMAKER OPBE	2070260

SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF DECEMBER 15, 1977

SER. NO.	PROJ. CODE	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES		PROJCT MONITOR & ORGANIZATION	OBLIG. DOLLARS
14901		OEC-0-74-0582 FUNDING HISTORY, FY 74: 2770900 75: 1301386 76: 869116 77: 53605	FOLLOW THROUGH NATIONAL EVALUATION: DATA COLLECTION AND DATA PROCESSING (CONTINUATION OF 19191) (FOLLOW THROUGH FUNDS)	STANFORD RESEARCH INSTITUTE MENLO PARK, CALIF. 10/12/73 TO 12/31/78	(N)	IWAMOTO OPBE	4995057
14902		OEC-0-74-0394 FUNDING HISTORY, FY 74: 248114 75: 50000 76: 211715 77: 21939	TECHNICAL ASSISTANCE / SPECIAL STUDIES OF THE FOLLOW THROUGH PROGRAM (CONTINUATION OF 12902) (FOLLOW THROUGH FUNDS)	HURON INSTITUTE BOSTON, MASS. 9/20/73 TO 7/31/78	(N)	BURNS OPBE	531768
15001		300-75-0332 FUNDING HISTORY, FY 75: 4025600 76: 2149947 77: 3410539 78: 1317440	EVALUATION OF THE SUSTAINING EFFECTS OF COMPENSATORY EDUCATION (TITLE I FUNDS EXCEPT $639,290 P&E FUNDS IN FY77)	SYSTEM DEVELOPMENT CORP. SANTA MONICA, CAL. 7/ 1/75 TO 12/31/81	(P)	HAYESKE OPBE	10903526
15002		300-75-0212 ED145017 FUNDING HISTORY, FY 75: 665730 76: 35465 77: 24742	FURTHER DOCUMENTATION OF THE STATE TITLE I REPORTING MODELS (TITLE I FOUNDS IN FY 76 & FY 77)	RMC RESEARCH CORPORATION MOUNTAIN VIEW, CAL. 6/16/75 TO 4/15/78	(P)	ANDERSON OPBE	725937
15004		300-75-0353 COMPLETED--REPORT AVAILABLE ED042053-56 FUNDING HISTORY, FY 75: 349999 77: 500	A STUDY OF STATE PROGRAMS IN BILINGUAL EDUCATION (INCLUDES $332,059 OF FY75 S&E FUNDS)	DEVELOPMENT ASSOCIATES, INC. WASHINGTON, D.C. 7/ 1/75 TO 6/30/77	(P)	OKADA OPBE	350499
15005		300-75-0260 COMPLETED--REPORT AVAILABLE ED FUNDING HISTORY, FY 75: 458116 76: 131517	EVALUATION OF THE NATIONAL DIFFUSION NETWORK	STANFORD RESEARCH INSTITUTE MENLO PARK, CALIF. 7/ 1/75 TO 8/31/77	(N)	BEZDEK OPBE	589633
15007		300-75-0358 COMPLETED FUNDING HISTORY, FY 75: 351708 76: 113238	DEVELOPMENT OF SIX COMPENSATORY ED PIPS AND FOUR BILINGUAL ED PIPS (PIPS FUNDS)	CEMREL, INC. ST. LOUIS, MO. 7/ 1/75 TO 4/30/77	(N)	HULTEN OPBE	464946

SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF DECEMBER 15, 1977

SER. NO.	PROJ. CODE	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES		PROJCT MONITOR & ORGANIZATION	OBLIG. DOLLARS
15901		300-75-0134 FUNDING HISTORY, FY 75: 668895 76: 1120918 77: 52512	FOLLOW THROUGH EVALUATION--DATA ANALYSIS (FOLLOW THROUGH FUNDS)	ABT ASSOCIATES CAMBRIDGE MASS. 2/ 7/75 TO 12/31/77	(P)	IWAMOTO OPBE	1842325
15902 COMPLETED		300-75-0233 FUNDING HISTORY, FY 75: 346114 76: 34918 77: 35762	COST ANALYSIS STUDY OF FOLLOW THROUGH PROJECTS (FOLLOW THROUGH FUNDS)	RMC RESEARCH CORPORATION BETHESDA, MD. 5/19/75 TO 8/31/77	(P)	IWAMOTO OPBE	416794
16004		300-76-0093 FUNDING HISTORY, FY 76: 357876 77: 1668423	EVALUATION OF THE TITLE I PROGRAM IN STATE INSTITUTIONS FOR NEGLECTED AND DELINQUENT CHILDREN ($254,539 TITLE I FUNDS IN 77)	SYSTEM DEVELOPMENT CORP. SANTA MONICA, CAL. 2/ 9/76 TO 12/15/78	(P)	ANDERSON OPBE	2026299
16005		300-76-0095 FUNDING HISTORY, FY 76: 341705 77: 961197 78: 859088	EVALUATION OF THE IMPACT OF THE ESEA TITLE I MIGRANT PROGRAM (TITLE I FUNDS)	RESEARCH TRIANGLE INSTITUTE DURHAM, N. C. 2/ 9/76 TO 5/31/80	(N)	HULTEN OPBE	2161990
16006 COMPLETED		300-76-0251 FUNDING HISTORY, FY 76: 16392	DEVELOPMENT OF HANDBOOK ON THE RESOURCE APPROACH TO PROJECT COST ANALYSIS (TITLE I FUNDS)	RMC RESEARCH CORPORATION BETHESDA, MD. 5/24/76 TO 8/31/77	(P)	ANDERSON OPBE	16392
16008 CANCELLED		300-76-0265 FUNDING HISTORY, FY 76: 376426	THE DEVELOPMENT OF MODELS FOR THE EVALUATION AND REPORTING OF NON-INSTRUCTIONAL SERVICES IN TITLE I (TITLE I FUNDS)	RMC RESEARCH CORPORATION BETHESDA, MD. 6/ 1/76 TO 6/ 3/77	(P)	BURNES OPBE	376426
16009		300-76-0316 FUNDING HISTORY, FY 76: 364434 77: 29654	TITLE I EVALUATION WORKSHOPS (TITLE I FUNDS)	RMC RESEARCH CORPORATION MOUNTAIN VIEW, CAL. 7/ 1/76 TO 12/31/77	(P)	ANDERSON OPBE	394088
16010		OEC-0-74-9331 FUNDING HISTORY, FY 76: 23000	PREPARATION OF HANDBOOK ON EVALUATION OF BILINGUAL PROJECTS (TITLE I FUNDS) (ADD ON TO PROJECT 14005)	AMERICAN INSTITUTES FOR RESEARCH PALO ALTO, CAL. 9/30/76 TO 3/31/78	(N)	SHOEMAKER OPBE	23000

SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF DECEMBER 15, 1977

SER. NO.	PROJ. CODE	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES		PROJCT MONITOR & ORGANIZATION	OBLIG. DOLLARS
16011		300-76-0541	OPERATION OF ESEA TITLE I TECHNICAL ASSISTANCE CENTER--REGION I (TITLE I FUNDS)	RMC RESEARCH CORPORATION BETHESDA, MD. 10/ 1/76 TO 12/31/77	(P)	FISHBEIN OPBE	306291
FUNDING HISTORY, FY 76: 77:		116407 189884					
16012		300-76-0542	OPERATION OF ESEA TITLE I TECHNICAL ASSISTANCE CENTER--REGION II (TITLE I FUNDS)	EDUCATIONAL TESTING SERVICE PRINCETON N.J. 10/ 1/76 TO 12/31/77	(N)	FISHBEIN OPBE	108037
FUNDING HISTORY, FY 76:		108037					
16013		300-76-0543	OPERATION OF ESEA TITLE I TECHNICAL ASSISTANCE CENTER--REGION III (TITLE I FUNDS)	NATIONAL TESTING SERVICE DURHAM, N.C. 10/ 1/76 TO 12/31/77	(N)	FISHBEIN OPBE	500168
FUNDING HISTORY, FY 76: 78:		109548 390620					
16014		300-76-0544	OPERATION OF ESEA TITLE I TECHNICAL ASSISTANCE CENTER--REGION IV (TITLE I FUNDS)	EDUCATIONAL TESTING SERVICE ATLANTA, GA. 10/ 1/76 TO 12/31/77	(N)	FISHBEIN OPBE	165926
FUNDING HISTORY, FY 76: 77:		112519 53407					
16015		300-76-0545	OPERATION OF ESEA TITLE I TECHNICAL ASSISTANCE CENTER--REGION V (TITLE I FUNDS)	EDUCATIONAL TESTING SERVICE EVANSTON, ILL. 10/ 1/76 TO 12/31/77	(N)	FISHBEIN OPBE	234401
FUNDING HISTORY, FY 76: 77:		112403 121998					
16016		300-76-0546	OPERATION OF ESEA TITLE I TECHNICAL ASSISTANCE CENTER--REGION VI (TITLE I FUNDS)	RESOURCE DEVELOPMENT INSTITUTE AUSTIN, TEXAS 10/ 1/76 TO 12/31/77	(P)	FISHBEIN OPBE	225916
FUNDING HISTORY, FY 76: 77:		120630 105286					
16017		300-76-0547	OPERATION OF ESEA TITLE I TECHNICAL ASSISTANCE CENTER--REGION VII (TITLE I FUNDS)	AMERICAN INSTITUTES FOR RESEARCH PALO ALTO, CAL. 10/ 1/76 TO 12/31/77	(N)	FISHBEIN OPBE	209609
FUNDING HISTORY, FY 76: 77:		118008 91601					
16018		300-76-0548	OPERATION OF ESEA TITLE I TECHNICAL ASSISTANCE CENTER--REGION VIII (TITLE I FUNDS)	NORTHWEST REGIONAL LABORATORY PORTLAND ORE. 10/ 1/76 TO 12/31/77	(N)	FISHBEIN OPBE	237215
FUNDING HISTORY, FY 76: 77:		114772 122443					

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SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF DECEMBER 15, 1977

SER. NO.	PROJ. CODE	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES	PROJECT MONITOR & ORGANIZATION	OBLIG. DOLLARS
16019		300-76-0549	OPERATION OF ESEA TITLE I TECHNICAL ASSISTANCE CENTER--REGION IX (TITLE I FUNDS)	NORTHWEST REGIONAL LABORATORY PORTLAND ORE. (N) 10/ 1/76 TO 12/31/77	FISHBEIN OPBE	222565
FUNDING HISTORY, FY 76:		111605				
77:		110960				
16020		300-76-0550	OPERATION OF ESEA TITLE I TECHNICAL ASSISTANCE CENTER--REGION X (TITLE I FUNDS)	NORTHWEST REGIONAL LABORATORY PORTLAND ORE. (N) 10/ 1/76 TO 12/31/77	FISHBEIN OPBE	169049
FUNDING HISTORY, FY 76:		109771				
77:		59278				
16021 COMPLETED		P00-76-0504	PREPARATION OF REVISED HANDBOOK ON EVALUATING CHILDREN'S AFFECTIVE DEVELOPMENT (WITH APPENDIX) (TITLE I FUNDS)	WALKER, DEBORAH KLEIN CAMBRIDGE, MASS. (I) 10/ 1/76 TO 4/ 1/77	ANDERSON OPBE	5000
FUNDING HISTORY, FY 76:		5000				
16022		300-76-0358	STUDY OF BILINGUAL CURRICULUM DEVELOPMENT ACTIVITIES	DEVELOPMENT ASSOCIATES, INC. WASHINGTON, D.C. (P) 7/ 1/76 TO 6/30/78	OKADA OPBE	269227
FUNDING HISTORY, FY 76:		63185				
77:		206042				
16028		300-76-0433	EVALUATION OF EMERGENCY SCHOOL AID ACT (ESAA) IMPLEMENTATION AND IMPACT AT THE REGIONAL LEVEL (ESAA FUNDS)	APPLIED URBANETICS, INC. WASHINGTON, D.C. (P) 8/20/76 TO 4/ 7/78	YORK OPBE	124459
FUNDING HISTORY, FY 76:		124459				
16029		300-76-0311	EVALUATION OF THE EMERGENCY SCHOOL AID ACT NON-PROFIT ORGANIZATION PROGRAM (ESAA FUNDS)	THE RAND CORPORATION SANTA MONICA CAL. (N) 6/ 5/76 TO 6/30/78	YORK OPBE	815798
FUNDING HISTORY, FY 76:		791014				
77:		24784				
16030		300-76-0339	EVALUATION OF PROJECT INFORMATION (PIPS) DISSEMINATION AND IMPLEMENTATION (PIPS FUNDS)	AMERICAN INSTITUTES FOR RESEARCH PALO ALTO, CAL. (N) 7/ 1/76 TO 12/ 1/78	BURNES OPBE	832214
FUNDING HISTORY, FY 76:		423695				
77:		408519				
16031 COMPLETED		P00-76-0453	DEVELOPMENT OF HANDBOOK ON BIAS IN ACHIEVEMENT TESTING	VEALE, JAMES R. BERKELEY, CAL. (I) 9/30/76 TO 6/31/77	ANDERSON OPBE	8200
FUNDING HISTORY, FY 77:		8200				

SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF DECEMBER 15, 1977

SER. NO.	PROJ. CODE	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES		PROJECT MONITOR & ORGANIZATION	OBLIG. DOLLARS
17001		300-77-0515	A PROCESS AND MANAGEMENT STUDY OF CONSOLIDATED PROGRAMS UNDER ESEA TITLE IV	THE RAND CORPORATION SANTA MONICA CAL. 10/ 1/77 TO 2/ 1/79	(N)	JACKSON OPBE	191665
FUNDING HISTORY, FY 77:		191665					
17002		300-77-0527	THE MEASUREMENT OF EQUITY IN SCHOOL FINANCE WITH AN EXPENDITURE DISPARITY MEASURE	EDUCATION COMM. FOR THE STATES DENVER, COLO. 10/ 1/77 TO 9/30/78	(N)	STONE OPBE	9995
FUNDING HISTORY, FY 77:		9995					
17003		300-77-0444	DEVELOPMENT OF EVALUATION MODELS FOR TITLE I PROGRAMS IN EARLY CHILDHOOD EDUCATION (TITLE I FUNDS)	HURON INSTITUTE BOSTON, MASS. 10/ 1/77 TO 3/31/79	(N)	STONEHILL OPBE	256078
FUNDING HISTORY, FY 77: 78:		50000 206078					
17004 COMPLETED		P00-77-0452	PREPARATION OF APPENDIX TO JOINT DISSEMINATION PANEL IDEABOOK ABOUT TITLE I EVALUATION MODELS (TITLE I FUNDS)	RMC RESEARCH CORPORATION MOUNTAIN VIEW, CAL. 8/30/77 TO 9/30/77	(P)	ANDERSON OPBE	2273
FUNDING HISTORY, FY 77:		2273					
17005 COMPLETED		P00-77-0453	PREPARATION OF TECHNICAL PAPER ON CHILDREN'S NORMAL GROWTH AT VARIOUS GRADE LEVELS (TITLE I FUNDS)	RMC RESEARCH CORPORATION MOUNTAIN VIEW, CAL. 9/ 9/77 TO 10/15/77	(P)	ANDERSON OPBE	7300
FUNDING HISTORY, FY 77:		7300					
17006 COMPLETED		P00-77-0049	OUTLINE AND SUMMARY OF AN INTRODUCTION TO CRITERION-REFERENCED TESTING (TITLE I FUNDS)	AMERICAN INSTITUTES FOR RESEARCH WASHINGTON, D.C. 12/15/76 TO 2/28/77	(N)	ANDERSON OPBE	4999
FUNDING HISTORY, FY 77:		4999					
17007		P00-77-0075	ADMINISTRATIVE CONSIDERATIONS IN THE DEVELOPMENT OF A LARGE SCALE TESTING AND EVALUATION PROGRAM (TITLE I FUNDS)	POLEMENI, ANTHONY UPPER MONTCLAIR, N.J. 1/12/77 TO 4/30/78	(I)	FISHBEIN OPBE	9500
FUNDING HISTORY, FY 77:		9500					
17008 COMPLETED		P00-77-0361	SUPPORT FOR WORKING CONFERENCE ON POST FOLLOW THROUGH EFFECTS (FOLLOW THROUGH FUNDS)	GEORGIA, UNIVERSITY OF ATHENS, GA. 7/ 8/77 TO 7/13/77	(A)	BURNS OPBE	2565
FUNDING HISTORY, FY 77:		2565					
17009 COMPLETED		P00-77-0400	CONSOLIDATION AND SYNTHESIS OF FIVE FOLLOW THROUGH MODEL IMPLEMENTATION REPORTS (FOLLOW THROUGH FUNDS)	RAYDER, NICHOLAS BERKELEY, CAL. 8/ 1/77 TO 8/31/77	(I)	IWAMOTO OPBE	4500
FUNDING HISTORY, FY 77:		4500					

SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF DECEMBER 15, 1977

SER. NO.	PROJ. CODE	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES		PROJCT MONITOR & ORGANIZATION	OBLIG. DOLLARS
17010		300-77-0327	A STUDY OF THE EFFECTS OF SELECTED ESAA SUPPORTED ACTIVITIES ON INTER-GROUP RELATIONS AND BASIC SKILLS (ESAA FUNDS)	SYSTEM DEVELOPMENT CORP. SANTA MONICA, CAL. 8/23/77 TO 12/31/80	(P)	BURNES OPBE	1174438
FUNDING HISTORY, FY 77:		1174438					
17011		300-77-0393	EVALUATION OF THE EMERGENCY SCHOOL AID ACT MAGNET SCHOOLS PROGRAM (ESAA FUNDS)	ABT ASSOCIATES CAMBRIDGE MASS. 9/ 9/77 TO 9/ 9/78	(P)	YORK OPBE	258647
FUNDING HISTORY, FY 77:		258647					
17012		300-77-0323	A STUDY OF FEDERAL TECHNICAL AND FINANCIAL ASSISTANCE PROGRAMS DESIGNED TO FACILITATE SCHOOL DESEGREGATION (ESAA FUNDS)	TEAM ASSOCIATES WASHINGTON, D.C. 9/30/77 TO 4/30/78	(P)	OZENNE OPBE	69749
FUNDING HISTORY, FY 77:		69749					
17013		300-77-0371	AN ASSESSMENT OF EMERGENCY SCHOOL AID ACT PROGRAM OPERATIONS (ESAA FUNDS)	APPLIED URBANETICS, INC. WASHINGTON, D.C. 9/30/77 TO 5/31/78	(P)	OZENNE OPBE	169145
FUNDING HISTORY, FY 77:		169145					
17014		300-77-0313	EVALUATION OF BILINGUAL PROJECT INFORMATION VIA PROJECT INFORMATION PACKAGES (PIPS FUNDS)	RMC RESEARCH CORPORATION MOUNTAIN VIEW, CAL. 7/29/77 TO 12/31/79	(P)	MULTEN OPBE	722529
FUNDING HISTORY, FY 77:		722529					
17015		300-77-0331	PIP'S DISSEMINATION--SEAPORT (PIP'S FUNDS)	NEWPORT SCHOOL DEPT. NEWPORT, R.I. 9/30/77 TO 6/30/78	(L)	BEZDEK OPBE	52534
FUNDING HISTORY, FY 77:		52534					
17016		300-77-0332	PIP'S DISSEMINATION--READING IMPROVEMENT PROJECT (PIP'S FUNDS)	FLAGSTAFF PUBLIC SCHOOLS FLAGSTAFF, ARIZ. 9/30/77 TO 6/30/78	(L)	BEZDEK OPBE	53142
FUNDING HISTORY, FY 77:		53142					
17017		300-77-0333	PIP'S DISSEMINATION--IMPROVEMENT OF BASIC READING SKILLS (PIP'S FUNDS)	SYLACAUGA BOARD OF EDUCATION SYLACAUGA, ALA. 9/30/77 TO 6/30/78	(L)	BEZDEK OPBE	50530
FUNDING HISTORY, FY 77:		50530					
17018		300-77-0334	PIP'S DISSEMINATION--CATCH UP--KEEP UP (PIPS FUNDS)	FLOWING WELLS SCHOOLS TUCSON, ARIZ. 9/30/77 TO 6/30/78	(L)	BEZDEK OPBE	51000
FUNDING HISTORY, FY 77:		51000					

SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF DECEMBER 15, 1977

SER. NO.	PROJ. CODE	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES		PROJCT MONITOR & ORGANIZATION	OBLIG. DOLLARS
17019		300-77-0335	PIP'S DISSEMINATION--CONQUEST (PIP'S FUNDS)	BOARD OF EDUCATION EAST ST. LOUIS, ILL. 9/30/77 TO 6/30/78	(L)	BEZDEK OPBE	50320
FUNDING HISTORY, FY 77:		50320					
17020		300-77-0336	PIP'S DISSEMINATION--HIT (PIP'S FUNDS)	SCHOOL BOARD OF HIGHLAND PARK HIGHLAND PARK, MICH. 9/30/77 TO 6/30/78	(L)	BEZDEK OPBE	52562
FUNDING HISTORY, FY 77:		52562					
17021		300-77-0337	PIP'S DISSEMINATION--IRIT (PIP'S FUNDS)	HARTFORD PUBLIC SCHOOLS HARTFORD, CONN. 9/30/77 TO 6/30/78	(L)	BEZDEK OPBE	52934
FUNDING HISTORY, FY 77:		52934					
17022		300-77-0338	PIP'S DISSEMINATION--PTR (PIP'S FUNDS)	DAVIS SCHOOL DISTRICT FARMINGTON, UTAH 9/30/77 TO 6/30/78	(L)	BEZDEK OPBE	50312
FUNDING HISTORY, FY 77:		50312					
17023		300-77-0447	NATIONAL BROKERAGE SYSTEM FOR DISSEMINATION-RELATED TRAINING AND TECHNICAL ASSISTANCE (OPBE FUNDED PORTION ONLY) (PIP'S FUNDS)	CAPLA ASSOCIATES ROCHELLE PARK, N.J. 9/30/77 TO 9/30/78	(P)	NARAYANAN BESE	27000
FUNDING HISTORY, FY 77:		27000					
17024 COMPLETED		FUNDS TRANSFER	SUPPORT FOR DISSEMINATION CONFERENCE (PIPS FUNDS)	NATIONAL INSTITUTE OF EDUCATION WASHINGTON, D.C. 5/10/77 TO 6/30/77	(F)	BEZDEK OPBE	5500
FUNDING HISTORY, FY 77:		5500					

....................SUBTOTAL ELEMENTARY & SECONDARY EDUCATION 47148967

FUNDING HISTORY, FY	
67-69:	0
70:	0
71:	0
72:	0
73:	3539019
74:	7464548
75:	12042718
76:	10386981
77:	10942475
78:	2773226

SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF DECEMBER 15, 1977

SER. NO.	PROJ. CODE	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES	PROJCT MONITOR & ORGANIZATION	OBLIG. DOLLARS
2. VOCATIONAL AND ADULT EDUCATION						
25003		300-75-0312 COMPLETED--REPORT AVAILABLE ED139844,45 FUNDING HISTORY, FY 75: 191355	ANALYSIS OF POSTSECONDARY OCCUPATIONAL AND EDUCATIONAL OUTCOMES FOR HS CLASS OF 1972	EDUCATIONAL TESTING SERVICE PRINCETON N.J. (N) 6/27/75 TO 4/15/77	FLEMING OPBE	191355
25004		300-75-0342 COMPLETED--REPORT AVAILABLE ED133368 FUNDING HISTORY, FY 75: 348888 76: 10073	VOCATIONAL EDUCATION PROGRAMS FOR DISADVANTAGED STUDENTS	OLYMPUS RESEARCH CORP. SALT LAKE CITY, UTAH (N) 6/30/75 TO 12/31/76	SHULER OPBE	358961
26001		300-76-0315 FUNDING HISTORY, FY 76: 341992 77: 252136	ASSESSMENT OF AREA VOCATIONAL EDUCATION FACILITIES AND CONSTRUCTION RESOURCES ($50,000 NCES FUNDS IN FY77)	WESTAT, INC. ROCKVILLE, MD. (P) 7/ 1/76 TO 6/30/78	RATTNER OPBE	594128
27001		300-77-0318 FUNDING HISTORY, FY 77: 904472	STUDY OF THE EXTENT OF SEX DISCRIMINATION AND SEX STEREOTYPING IN VOC ED PROGRAMS, ETC. ($798,500 SEX STEREOTYPING FUNDS)	AMERICAN INSTITUTES FOR RESEARCH PALO ALTO, CAL. (N) 7/22/77 TO 10/31/78	SHULER OPBE	904472
27002		300-77-0536 FUNDING HISTORY, FY 77: 340426	MODELS FOR STATE USE IN EVALUATING VOCATIONAL EDUCATION (VOC ED FUNDS)	CONTRACT RESEARCH BELMONT, MASS. (P) 10/ 1/77 TO 3/31/79	SCATES OPBE	340426
27003		300-77-0240 FUNDING HISTORY, FY 77: 409203	THE STATUS AND IMPACT OF BILINGUAL VOCATIONAL TRAINING ($256,143 VOC ED FUNDS)	KIRSCHNER ASSOCIATES WASHINGTON, D.C. (P) 6/ 3/77 TO 5/31/79	SHULER OPBE	409203
27004		300-77-0303 FUNDING HISTORY, FY 77: 228436	IDENTIFICATION OF EVALUATED, EXEMPLARY ACTIVITIES IN CAREER EDUCATION (K-12) (CAREER ED FUNDS)	AMERICAN INSTITUTES FOR RESEARCH PALO ALTO, CAL. (N) 8/ 1/77 TO 5/31/78	SCATES OPBE	228436
27005		FUNDS TRANSFER COMPLETED FUNDING HISTORY, FY 77: 7500	COMPUTER SERVICES IN CONNECTION WITH DATA ANALYSIS FOR AREA VOCATIONAL FACILITIES PROJECT	NATIONAL INSTITUTES OF HEALTH BETHESDA, MD. (F) 4/15/77 TO 9/30/77	RATTNER OPBE	7500

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                           SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF DECEMBER 15, 1977

SER.  PROJ.                                                                 CONTRACTOR NAME,          PROJECT MONITOR   OBLIG.
NO.   CODE     CONTRACT NUMBER            DESCRIPTION OF CONTRACT          LOCATION, AND TYPE,        & ORGANIZATION   DOLLARS
                                                                            START AND END DATES

*******************.SUBTUTAL VOCATIONAL AND ADULT EDUCATION               3034481

  FUNDING HISTORY, FY 67-69:        0
                         70:        0
                         71:        0
                         72:        0
                         73:        0
                         74:        0
                         75:   540243
                         76:   352065
                         77:  2142173
                         78:        0
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SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF DECEMBER 15, 1977

SER. NO.	PROJ. CODE	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES	PROJCT MONITOR & ORGANIZATION	OBLIG. DOLLARS
3. HIGHER EDUCATION						
35003		300-75-0343 COMPLETED--REPORT AVAILABLE ED FUNDING HISTORY, FY 75: 444703 76: 77000 77: 32524	COOPERATIVE EDUCATION: A NATIONAL ASSESSMENT	APPLIED MANAGEMENT SCIENCES INC SILVER SPRING, MD. (P) 7/ 1/75 TO 11/30/77	HERSHNER OPBE	554227
35004		300-75-0382 FUNDING HISTORY, FY 75: 677200 76: 452800	STUDY OF IMPACT OF STUDENT FINANCIAL AID PROGRAMS--PHASE II (INCLUDES $150,000 BEOGS FUNDS IN 75 & $250,000 BEOGS FUNDS IN 76)	HIGHER EDN RESEARCH INSTITUTE LOS ANGELES, CALIF. (P) 7/ 1/75 TO 6/30/78	HAINES OPBE	1130000
35005		300-75-0221 COMPLETED--REPORT AVAILABLE ED FUNDING HISTORY, FY 75: 135021 76: 35244	DATA BASE ESTIMATION OF IMPACT OF TITLE III HEA (DEVELOPING INSTITUTIONS)(SEE ALSO 37008)	HARVARD UNIVERSITY CAMBRIDGE, MASS. (S) 6/30/75 TO 2/28/77	KUCH OPBE	170265
35007		300-75-0383 ED FUNDING HISTORY, FY 75: 227288 76: 46129 77: 113843	STUDY OF FEDERAL ELIGIBILITY AND CONSUMER PROTECTION STRATEGIES	AMERICAN INSTITUTES FOR RESEARCH PALO ALTO, CAL. (N) 7/ 1/75 TO 6/30/78	GREEN OPBE	387260
36005		300-76-0377 FUNDING HISTORY, FY 76: 246882	A REVIEW OF STATE OVERSIGHT IN POSTSECONDARY EDUCATION	AMERICAN INSTITUTES FOR RESEARCH PALO ALTO, CAL. (N) 7/ 1/76 TO 12/31/77	GREEN OPBE	246882
36006		300-76-0379 COMPLETED--REPORT AVAILABLE ED FUNDING HISTORY, FY 76: 157155	STUDY OF THE STATE STUDENT INCENTIVE GRANT PROGRAM AND STATE SCHOLARSHIP PROGRAM	EDUCATION COMM. FOR THE STATES DENVER, COLO. (N) 8/ 1/76 TO 11/30/77	HAINES OPBE	157155
36007		300-76-0514 FUNDING HISTORY, FY 76: 278811	STUDY OF SELECTED INSTITUTIONS AND STUDENTS PARTICIPATING IN THE FEDERALLY INSURED STUDENT LOAN PROGRAM	CRESAP, MCCORMICK & PAGET WASHINGTON, D.C. (P) 9/29/76 TO 9/30/78	MORRISSEY OPBE	278811
36008		300-76-0539 FUNDING HISTORY, FY 76: 439510 77: 97636	EVALUATION OF DEMONSTRATION MODELS FOR THE SPECIAL PROGRAMS FOR STUDENTS FROM DISADVANTAGED BACKGROUNDS	SYSTEM DEVELOPMENT CORP. SANTA MONICA, CAL. (P) 9/30/76 TO 1/31/78	BERLS OPBE	537146

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SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF DECEMBER 15, 1977

SER. NO.	PROJ. CODE	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES	PROJECT MONITOR & ORGANIZATION	OBLIG. DOLLARS
36009 COMPLETED--REPORT AVAILABLE ED130156 FUNDING HISTORY, FY 76: 42931		300-76-0535	STUDY OF NON-RESIDENTIAL POSTSECONDARY STUDENT EXPENDITURES	APPLIED MANAGEMENT SCIENCES INC SILVER SPRING, MD. (P) 9/30/76 TO 1/31/77	KUCH OPBE	42931
36010 COMPLETED--REPORT AVAILABLE ED FUNDING HISTORY, FY 76: 62900		IAD-0-74-036	HIGHER EDUCATION PANEL	NATIONAL SCIENCE FOUNDATION WASHINGTON, D. C. (F) 7/ 1/76 TO 11/30/77	RATNOFSKY OPBE	62900
36011 COMPLETED--REPORT AVAILABLE ED FUNDING HISTORY, FY 76: 157761		OEC-0-73-7052	AN EVALUATION OF UPWARD BOUND: A FOLLOW-UP (SEE ALSO 33009)	RESEARCH TRIANGLE INSTITUTE DURHAM, N. C. (N) 9/30/76 TO 10/31/77	CARROLL OPBE	157761
37001 FUNDING HISTORY, FY 77: 377095		300-77-0486	STUDY OF STATE REQUIREMENTS FOR FORMING STATE GUARANTEE AGENCIES IN THE GUARANTEED STUDENT LOAN PROGRAM	TOUCHE, ROSS & CO. WASHINGTON, D.C. (P) 10/ 1/77 TO 12/31/78	MORRISSEY OPBE	377095
37002 FUNDING HISTORY, FY 77: 325751		300-77-0497	EVALUATION OF THE OE CRITERIA FOR THE RECOGNITION OF ACCREDITING AND STATE APPROVAL AGENCIES	EDUCATIONAL TESTING SERVICE PRINCETON N.J. (N) 10/ 1/77 TO 7/31/79	GREEN OPBE	325751
37003 FUNDING HISTORY, FY 77: 578772		300-77-0498	STUDY OF PROGRAM MANAGEMENT PROCEDURES IN THE CAMPUS-BASED AND BASIC GRANT PROGRAMS	APPLIED MANAGEMENT SCIENCES INC SILVER SPRING, MD. (P) 10/ 1/77 TJ 9/30/79	RATNOFSKY OPBE	578772
37004 FUNDING HISTORY, FY 77: 59994		HEW-100-77-0081	EVALUATION OF THE VETERANS' COST OF INSTRUCTION PROGRAM	RESEARCH TRIANGLE INSTITUTE DURHAM, N. C. (N) 9/29/77 TO 3/31/78	CARROLL OPBE	59994
37005 FUNDING HISTORY, FY 77: 70000		EEF0002002	SUPPORT OF HIGHER EDUCATION PANEL	NATIONAL SCIENCE FOUNDATION WASHINGTON, D. C. (F) 9/30/77 TO 9/30/78	RATNOFSKY OPBE	70000
37006 FUNDING HISTORY, FY 77: 46791		300-77-0538	STUDY OF HEA TITLE IX GRADUATE EDUCATION PROGRAMS	APPLIED MANAGEMENT SCIENCES INC SILVER SPRING, MD. (P) 10/ 1/77 TO 2/ 1/78	HERSHNER OPBE	46791
37007 COMPLETED FUNDING HISTORY, FY 77: 64000		SEVERAL	PREPARATION OF BACKGROUND PAPERS FOR THE HEA TITLE IX STUDY OF GRADUATE EDUCATION PROGRAMS	MISCELLANEOUS (I) 7/14/77 TO 11/17/77	HERSHNER OPBE	64000

SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF DECEMBER 15, 1977

SER. NO.	PROJ. CODE	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES		PROJECT MONITOR & ORGANIZATION	OBLIG. DOLLARS
37008 COMPLETED--REPORT AVAILABLE ED FUNDING HISTORY, FY 77: 23794		300-77-0157	PILOT STUDY OF HEA TITLE III FUNDED INSTITUTIONAL METHODOLOGY FOR CASE STUDIES (FOLLOW-ON TO 35005)	HARVARD UNIVERSITY CAMBRIDGE, MASS. 3/ 1/77 TO 10/30/77	(B)	KUCH OPBE	23794
37009 COMPLETED--REPORT AVAILABLE ED FUNDING HISTORY, FY 77: 15411		300-77-0142	RESEARCH ON PART-TIME CAMPUS STUDENT FINANCIAL AID PERSONNEL	EDUCATIONAL METHODS, INC. WASHINGTON, D. C. 7/ 1/77 TO 8/31/77	(P)	RATNOFSKY OPBE	15411
37010 FUNDING HISTORY, FY 77: 18440		300-77-0298	STUDY OF THE RELATIONSHIP OF THE WILLINGNESS AND ABILITY OF PARENTS TO CONTRIBUTE TO THE COSTS OF POSTSECONDARY EDUCATION	COLLEGE ENTRANCE EXAM BOARD NEW YORK, N.Y. 9/15/77 TO 12/31/77	(N)	KUCH OPBE	18440
37011 FUNDING HISTORY, FY 77: 24700		300-77-0396	MAXIMIZING PRODUCTIVITY IN THE HISTORICALLY BACK GRADUATE SCHOOLS	LYNCH, JEAN MARGARET NEW ORLEANS, LA. 9/19/77 TO 5/31/78	(I)	HERSHNER OPBE	24700
37012 COMPLETED--REPORT AVAILABLE ED139351 FUNDING HISTORY, FY 77: 5924		PC0-77-0292	A SURVEY OF LITERATURE IN SUPPORT OF AFFIRMATIVE ACTION IN PROFESSIONAL EDUCATION	BLACKWELL, JAMES SHARON, MASS. 4/18/77 TO 4/29/77	(I)	CORRALLO OPBE	5924
37013 FUNDING HISTORY, FY 77: 7600		P00-77-0312	ANALYSIS OF STUDENT AID PACKAGES AND DEFAULTER CHARACTERISTICS	SYSTEMS GROUP INC. WASHINGTON, D.C. 6/ 1/77 TO 3/31/78	(P)	KUCH OPBE	7600
37014 FUNDING HISTORY, FY 77: 25000		HEW-100-76-0128	ANALYSIS OF CAMPUS-BASED PROGRAM DATA FOR NDSL REVOLVING STATUS, NDSL CONTRIBUTIONS, AND MARGINAL C-B ASSISTANCE RECIPIENTS	VALUE ENGINEERING COMPANY ALEXANDRIA, VA. 9/30/77 TO 6/30/78	(P)	KUCH OPBE	25000
37015 COMPLETED FUNDING HISTORY, FY 77: 150000		FUNDS TRANSFER	SUPPORT FOR INHOUSE STUDENT FINANCIAL ASSISTANCE STUDY	OFFICE OF MANAGEMENT, O.E. WASHINGTON, D.C. 10/ 1/76 TO 9/30/77	(F)	N.A. OPBE	150000

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                         SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF DECEMBER 15, 1977

SER.  PROJ.                                                                  CONTRACTOR NAME,          PROJECT MONITOR   OBLIG.
NO.   CODE      CONTRACT NUMBER             DESCRIPTION OF CONTRACT         LOCATION, AND TYPE,       & ORGANIZATION    DOLLARS
                                                                             START AND END DATES

....................SUBTOTAL HIGHER EDUCATION                          5518610

   FUNDING HISTORY, FY 67-69:        0
                          70:        0
                          71:        0
                          72:        0
                          73:        0
                          74:        0
                          75:  1484212
                          76:  1997123
                          77:  2037275
                          78:        0
                         SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF DECEMBER 15, 1977

SER.  PROJ.                                                                    CONTRACTOR NAME,          PROJCT MONITOR  OBLIG.
NO.   CODE      CONTRACT NUMBER             DESCRIPTION OF CONTRACT          LOCATION, AND TYPE,       & ORGANIZATION  DOLLARS
                                                                               START AND END DATES

6. LIBRARIES AND EDUCATIONAL TECHNOLOGY

66001         300-76-0464              STUDY OF LIBRARY COOPERATIVE NET-    APPLIED MANAGEMENT SCIENCES INC   KIRSCHENBAUM   211244
                                       WORKS AND DEMONSTRATION PROGRAMS     SILVER SPRING, MD.            (P) OPBE
                                       AND PROJECTS                          9/17/76 TO  3/31/78
   FUNDING HISTORY, FY 76:    209308
                       77:      1936

66002         300-76-0533              AREA POP II: MANAGEMENT PLAN         PUBLIC BROADCASTING SERVICE       MARONEY         71110
                                                                            WASHINGTON, D.C.              (N) OPBE
                                                                            10/ 1/76 TO  4/30/78
   FUNDING HISTORY, FY 76:     68077
                       77:      3033

66003         A00-76-043               PROPAGATION ANALYSIS AND COVERAGE    ELECTROMAGNETIC COMP ANAL CENTER  MARONEY         61250
                                       CONTOURS                             ANNAPOLIS, MD.                (F) OPBE
                                                                            10/ 1/76 TO  4/30/78
   FUNDING HISTORY, FY 76:     55250
                       77:      6000

67001         300-77-0019              A SURVEY OF VIEWERSHIP OF            APPLIED MANAGEMENT SCIENCES INC   KIRSCHENBAUM   323582
                                       TELEVISION SERIES SPONSORED BY       SILVER SPRING, MD.            (P) OPBE
                                       ESAA LEGISLATION (ESAA FUNDS)         1/ 1/77 TO  4/30/78
   FUNDING HISTORY, FY 77:    323582

67002         300-77-0468              AN ASSESSMENT OF THE ESAA-TV         ABT ASSOCIATES                    KIRSCHENBAUM    87986
                                       PROGRAM THROUGH AN EXAMINATION OF    CAMBRIDGE MASS.               (P) OPBE
                                       ITS PRODUCTION, DISTRIBUTION, AND     9/27/77 TO  9/30/78
                                       FINANCING (ESAA FUNDS)
   FUNDING HISTORY, FY 77:     87986

....................SUBTOTAL LIBRARIES AND EDUCATIONAL TECHNOLOGY          755172

   FUNDING HISTORY, FY 67-69:          0
                          70:          0
                          71:          0
                          72:          0
                          73:          0
                          74:          0
                          75:          0
                          76:     332635
                          77:     422537
                          78:          0
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                    SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF DECEMBER 15, 1977

SER.  PROJ.                                                                    CONTRACTOR NAME,               PROJCT MONITOR  OBLIG.
NO.   CODE      CONTRACT NUMBER           DESCRIPTION OF CONTRACT            LOCATION, AND TYPE,             & ORGANIZATION  DOLLARS
                                                                              START AND END DATES

G. GENERAL

85003          300-75-0352             STATE USES OF FEDERAL FUNDS           BOOZ, ALLEN & HAMILTON, INC.        SPITZER        1264970
   COMPLETED--REPORT AVAILABLE                                               WASHINGTON, D.C.               (P)  OPBE
   ED125161,126559                                                            7/ 1/75 TO  8/31/77
   FUNDING HISTORY, FY 75:    956112
                       76:    307399
                       77:      1459

86001          300-76-0369             STUDY OF INFO REQS FOR NATL READING   APPLIED MANAGEMENT SCIENCES INC     RATTNER         378015
                                       IMP PROG, EVAL OF SPEC EMPHASIS       SILVER SPRING, MD.             (P)  OPBE
                                       PROJS PROG, & FEASIBILITY STUDY OF     7/ 1/76 TO  9/30/78
                                       EVAL OF RIF (R2R FUNDS)
   FUNDING HISTORY, FY 76:    258391
                       77:    119624

86002          300-76-0397             ASSESSMENT OF PROGRAMS AND PROJECTS   COMMUNICATIONS TECHNOLOGY CORP.     FLEMING         602196
                                       FUNDED UNDER TITLE IV OF PL 92-318,   BETHESDA, MD.                  (P)  OPBE
   FUNDING HISTORY, FY 76:    181422   INDIAN EDUCATION ACT--PART A           7/15/76 TO  1/31/79
                       77:    420774

87001          300-77-0159             A DESCRIPTION AND ASSESSMENT OF       DEVELOPMENT  ASSOCIATES, INC.       MESSIER         168733
                                       PROJECTS FUNDED BY THE COMMUNITY      WASHINGTON, D.C.               (P)  OPBE
                                       EDUCATION PROGRAM ($100,000 COMMU-     4/10/77 TO  5/31/78
                                       NITY ED FUNDS)
   FUNDING HISTORY, FY 77:    168733

87002          HEW-100-76-0127         PREPARATION OF COMPUTER-PREPARED      PINKERTON COMPUTER CONSULTANTS      SPITZER          25000
                                       TABLES FOR ANNUAL CONGRESSIONAL       BAILEY'S CROSSROADS, VA.       (P)  OPBE
                                       REPORT ON STATE USES OF FEDERAL        2/15/77 TO 12/31/77
   FUNDING HISTORY, FY 77:     25000   EDUCATION FUNDS

87003          FUNDS TRANSFER          SUPPORT FOR READING AND READING       COMMUNITY SERVICES ADMINISTRATION   N.A.            140000
                                       RELATED PROJECTS IN A SERVICE         WASHINGTON, D.C.               (F)  CSA
                                       INTEGREGATION PROGRAM FOR DIS-        9/30/77 TO 9/30/78
                                       ADVANTAGED YOUTH
   FUNDING HISTORY, FY 77:    140000

..................SUBTOTAL GENERAL                                  2578914

   FUNDING HISTORY, FY 67-69:        0
                          70:        0
                          71:        0
                          72:        0
                          73:        0
                          74:        0
                          75:   956112
                          76:   747212
                          77:   875590
                          78:        0
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                              SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF DECEMBER 15, 1977

SER.  PROJ.                                                               CONTRACTOR NAME,          PROJECT MONITOR   OBLIG.
NO.   CODE     CONTRACT NUMBER          DESCRIPTION OF CONTRACT         LOCATION, AND TYPE,        & ORGANIZATION   DOLLARS
                                                                         START AND END DATES

9. MISCELLANEOUS

90099        SEVERAL                  FIELD READERS, PURCHASE ORDERS UNDER MISCELLANEOUS                SEVERAL        380474
                                      $2500, PRINTING, TRAVEL, ETC.-OPBE                         ( )   OPBE
                                      (INCLUDES TITLE I, ESAA, PIPS, &     7/ 1/69 TO  9/30/77
                                      FOLLOW THROUGH FUNDS IN FY'S 76&77
  FUNDING HISTORY, FY 70:      7465
                      71:     37869
                      72:     44645
                      73:     45342
                      74:     57200
                      75:     38188
                      76:     83622
                      77:     66143

90299        SEVERAL                  PLANNING AND EVALUATION FUNDS        MISCELLANEOUS                SEVERAL      11059761
                                      TAPPED FOR USE BY OFFICE OF THE                            ( )
                                      ASSISTANT SECRETARY FOR PLANNING     7/ 1/69 TO  9/30/77
                                      AND EVALUATION--FY70-77
  FUNDING HISTORY, FY 70:   1561534
                      71:   1816784
                      72:   1962448
                      73:   1213178
                      74:    779626
                      75:    782561
                      76:   1555750
                      77:   1387880

92040        FUNDS TRANSFER           COMPUTER TIME IN SUPPORT OF          DATA MANAGEMENT CENTER/OS/DHEW   DEVER         769381
                                      PLANNING AND EVALUATION PROJECTS     WASHINGTON, D.C.         (F)   OPBE
                                                                            7/ 1/71 TO  9/30/77
  FUNDING HISTORY, FY 72:    124000
                      73:     33581
                      74:    146800
                      75:    170000
                      76:    197500
                      77:     97500

97001        HEW-100-77-0034          COMPUTER TIME IN SUPPORT OF          COMNET COMPUTER NETWORK CORP.   DEVER          33124
                                      PLANNING AND EVALUATION PROJECTS     WASHINGTON, D.C.         (P)   OPBE
                                                                            5/ 1/77 TO  9/30/78
  FUNDING HISTORY, FY 77:     33124
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                           SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF DECEMBER 15, 1977
SER.  PROJ.
NO.   CODE       CONTRACT NUMBER               DESCRIPTION OF CONTRACT             CONTRACTOR NAME,          PROJECT MONITOR   OBLIG.
                                                                                 LOCATION, AND TYPE,       & ORGANIZATION    DOLLARS
                                                                                 START AND END DATES

...................SUBTOTAL MISCELLANEOUS                                12242740

    FUNDING HISTORY, FY 67-69:       0
                           70:  1568999
                           71:  1854653
                           72:  2131093
                           73:  1292101
                           74:   983626
                           75:   990749
                           76:  1836872
                           77:  1584647
                           78:        0
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                              SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF DECEMBER 15, 1977

SER.  PROJ.                                                                        CONTRACTOR NAME,           PROJCT MONITOR   OBLIG.
NO.   CODE      CONTRACT NUMBER          DESCRIPTION OF CONTRACT                 LOCATION, AND TYPE,        & ORGANIZATION   DOLLARS
                                                                                 START AND END DATES


..................GRAND TOTAL     71278884

   FUNDING HISTORY, FY 67-69:           0
                          70:     1568999
                          71:     1854653
                          72:     2131093
                          73:     4831120
                          74:     8448174
                          75:    16014034
                          76:    15652888
                          77:    18004697
                          78:     2773226
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APPENDIX B

Progress in Implementing Section 151 of Title I of the Elementary and Secondary Education Act of 1965

Progress in Implementing Section 151 of Title I of the Elementary and Secondary Education Act of 1965

Legislation:	Expiration Date:
Section 151 of Title I of the Elementary and Secondary Education Act of 1965, as amended	June 30, 1978

Funding History	Year	Authorization	Appropriation*
	1975	$9,380,000	$1,400,000
	1976	9,500,000	3,250,000
	1977	10,250,000	3,750,000
	1978	11,000,000	11,000,000

Programs Goals and Objectives:

Section 151 of ESEA Title I lists specific activities required of the Commissioner. The subsections of Section 151 can be summarized as follows:

"The Commissioner shall

- provide for independent evaluations which describe and measure the impact of programs and projects assisted under this title ...
- develop and publish standards for evaluation of program or project effectiveness ...

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* Subsection (i) of Section 151 authorizes the Commissioner of Education to expend up to one-half of one percent of the funds appropriated for the Title I program to carry out the provisions of Section 151. For fiscal years 1975, 76, and 77, $5,000,000 of the Section 151 appropriation has been used by the National Institute of Education to conduct their study mandated by Section 821 of Public Law 93-380. The appropriation figures for USOE reflect that reduction.

- where appropriate, consult with State agencies in order to provide for jointly sponsored objective evaluation studies ...

- provide to State educational agencies, models for evaluations of all programs conducted under this title ... which shall include uniform procedures and criteria to be utilized by local educational agencies, as well as by the State agency.

- provide such technical and other assistance as may be necessary to State educational agencies to enable them to assist local educational agencies in the development and application of a systematic evaluation of programs in accordance with the models developed by the Commissioner.

- develop a system for the gathering and dissemination of results of evaluations and for the identification of exemplary programs.

Subsection (f) of Section 151 describes the models further as specifying "objective criteria" and "outlining techniques and methodology" for producing data which are "comparable on a statewide and nationwide basis." Subsection (g) requires a periodic report on the activities of this Section.

The goals of this evaluation program follow closely the requirements of the Section and the guidance offered in hearings during its passage and the passage of related legislation (H.R. 69).

Program Operations

The implementation of Section 151 of ESEA, Title I was assigned by the Commissioner of Education to the Office of Planning, Budgeting, and Evaluation upon the passage of the Education Amendments of 1974 in August of that year. Personnel in its Elementary and Secondary Programs Divisions (ESPD) have been responsible for administering the evaluation program and for reporting on its progress to Congress and other groups. (See especially OPBE, 1975 and Anderson, 1977.) Personnel in the Division of Education for the Disadvantaged responsible for administering the Title I program are also involved in the effort.

Together they have formed a group to plan and perform the various activities of the program. The group is headed by an Evaluation Specialist from ESPD and is comprised of seven staff members who work full- or part-time on Section 151 activities. They are responsible individually and/or jointly for specific parts of the program, such as the development of evaluation models relevant to the various Title I program areas, the organization and monitoring of the work of the ten Technical Assistance Centers (TAC's), the drafting and clearance of regulations implementing portions of the Section, the publication and distribution of a newsletter, and the filling of requests for information and materials. They also attend meetings at the request of States, locals, special interest groups, and other parties as necessary to inform them of the work.

OPBE interacts directly with State personnel in ways which vary according to State preference. Also, occasional contacts with local districts are pursued, again at the direction of the SEA's and LEA's. Personnel in the Regional offices participate (1) by advising USOE (both the Title I and the evaluation staff) and its consultants of appropriate procedural matters in their respective areas and (2) by attending training sessions regarding evaluation matters.

OPBE also works with firms under contract primarily to develop and document evaluation models and to provide federally funded technical consulting services to States. OPBE meets with members of the National Advisory Council on the Education of Disadvantaged children, of selected committees of the Council of Chief State School Officers, and of various agencies in HEW (such as the National

Institute of Education and the Office of Child Development).

The relationships of the major parties in this area is shown in the organization chart on the next page. As may be seen, the basic relationships are between USOE, States, and local school districts. USOE also administers the work of contractors and receives advice from Regional Offices and the National Advisory Council on the Education of Disadvantaged Children. The relationship between a State and its TAC is one of client and consultant in that the TAC's are technical experts on whom States can call, not policy-makers.

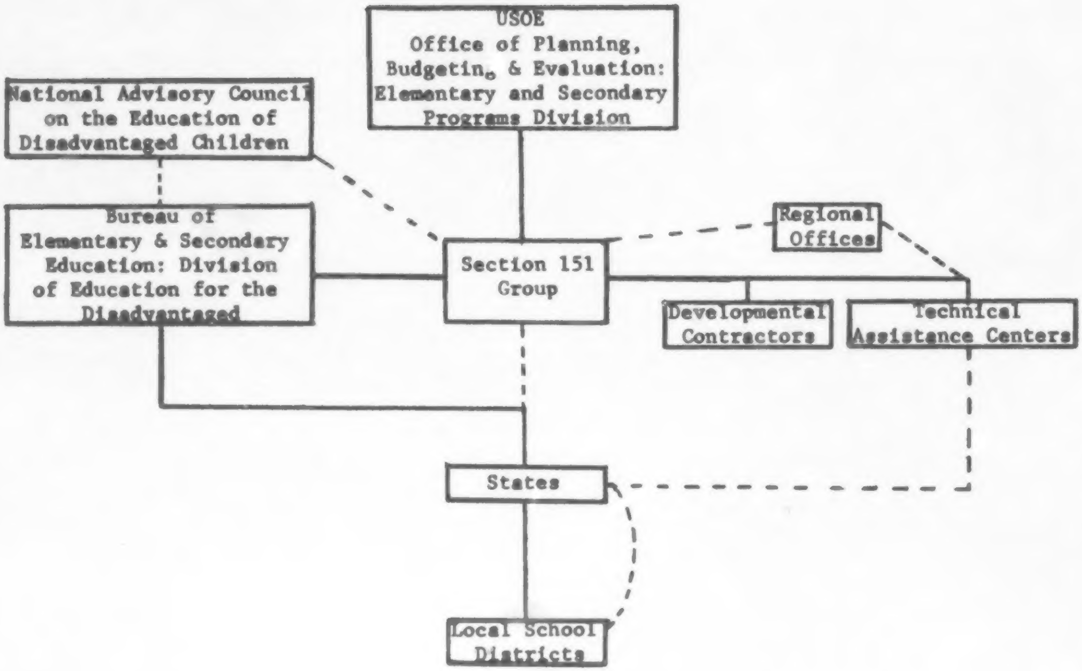
Probably of most interest with local and State educators is the fact that they are not burdened with an additional Federal unit to deal with administratively; that is, the Division for Education of the Disadvantaged is still the administrative body for all Title I matters. OPBE plays an advisory role regarding evaluation procedures.

Program Scope

The scope of the program to implement Section 151 is dictated largely by the legislation. It involves the major areas of model development, technical assistance, dissemination, and program evaluation -- all of which incorporate another activity required by the Section: consultation with States. Each of these areas will be discussed below.

1. The development of evaluation models

Subsection (d) of Section 151 requires the Commissioner of Education to "provide to State educational agencies, models for evaluations of all programs conducted under this title ... which shall include uniform procedures and criteria to be utilized by local educational agencies, as well as by the State agency in the evaluation of such programs." Work to accomplish that in one program area (the


USOE
Office of Planning, Budgeting & Evaluation: Elementary and Secondary Programs Division
National Advisory Council on the Education of Disadvantaged Children
Bureau of Elementary & Secondary Education: Division of Education for the Disadvantaged
Section 151 Group
Regional Offices
Developmental Contractors
Technical Assistance Centers
States
Local School Districts

Dotted lines signify advisory capacity; solid lines reflect communication of policy.

Figure 1. The various parties active in implementing Section 151 of ESEA, Title I

improvement of the basic skills in underachieving school children) has been underway since 1974, and during the 1977-78 school year all States will have at least some of its projects using the recommended procedures.

Work to develop uniform methods for assessing other Title I outcomes is underway now. That work can be outlined as shown in Table 1. Major Title I programs (Part A Basic LEA grants, Migrant education, etc.) are listed, as well as different types of outcomes any of them might address. Of primary focus is the achievement of participating children in the basic skills, since recent studies have shown this to be a major emphasis in all programs (NIE, 1976; Hoepfner, et al., 1977; SDC, 1977). Title I services may address additional objectives, however, such as facilitating children's affective development or remediating their impediments to learning (for example, poor health or nutrition). Some work to develop models for use in addressing these areas is underway and their use will be encouraged, especially at the LEA level to assess specific services.

Title I educators have requested evaluation advice also to assess non-student outcomes; that is, the degree of parental satisfaction with Title I services and the degree to which the project is managed and implemented well. This work is being planned but is not yet underway.

2. The provision of technical assistance

a. By USOE

In line with the mission of the U.S. Office of Education and with the provisions of Section 151*, staff members are active in assisting State and local personnel

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* Subsection (e) requires the Commissioner to "provide such technical and other assistance as may be necessary to State educational agencies to enable them to assist local educational agencies in the development and publication of a systematic evaluation of programs in accordance with the models developed by the Commissioner."

Table 1. The Development of Evaluation Models

Type of outcome and program:	Status as of Spring, 1977
1. **Achievement**:	
Basic LEA grant program	- models available, in use by at least some districts in all States in 1977-78; increased use encouraged in subsequent years; regulations in effect by 1979.
Migrant education program	- being developed in conjunction with national evaluation study; to be discussed with administrators 1977-78.
Program for the Neglected or Delinquent	- being developed in national evaluation study; to be discussed with administrators 1977-78.
2. Student non-cognitive outcomes	
a. affective development	- handbook on techniques available late summer, 1977
b. nutritional, medical, dental improvements	- work planned for 1977-78 to prepare handbooks
c. early childhood education*	- work planned beginning in fall, 1977 to survey project objectives and develop evaluation models
3. Non-student outcomes	
a. parent involvement	- work intended for FY 78 to address parent satisfaction
b. project implementation	- plans are being formulated to specify good procedures for assessing project management

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* These outcomes may be in various achievement or other areas as found to be of importance in such Title I projects.

in the use of the Title I evaluation and reporting system. Such assistance has involved the development and documentation of a computer program for the data analysis required by the models, the provision of materials explaining the models, the publication of a newsletter, the preparation of regulations regarding project evaluation and reporting, personal consultation with SEA and LEA staff, the conduct of national evaluation workshops, and the establishment of Technical Assistance Centers to provide free consulting services on call.

Materials to support the adoption of improved evaluation strategies are listed in Table 2. They are being requested and distributed in great quantities. Over 10,000 copies of both of the monographs (available for a year or more) have been disseminated; between February and May of 1977, over 3000 copies of the materials to use the models (second category of Table 2) have been mailed to States requesting them.

The newsletter is mailed to over 18,000 LEA's, SEA's, and other interested parties quarterly. It features information about the Section 151 activities and is meant to keep the public informed as necessary for them to administer their Title I evaluation activities. Published by OPBE, it contains articles by Federal, SEA, LEA, and other personnel (such as parents). Initial responses to it have been favorable.

The process to draft regulations heavily emphasizes input from the public. Preliminary meetings have been held with a group of State Title I Coordinators and other administrators representing Chief State School Officers; a Notice of Intent will solicit comments from all interested parties. After the publication of Proposed Rules (probably in late fall, 1977), hearings will be held in locations across the nation, and regulations will follow. Their issuance will effect the use of the evaluation models at that time in the few districts not already using them, making nationwide implementation of the system most probable by 1980.

Table 2 Materials about Title I evaluation

Topic	Availability
1. The 151 work:	
a. Overview paper, May, 1977	from OPBE
b. Two papers presented at the 1977 annual meeting of the American Educational Research Association	from authors in OPBE
c. Title I Program Directive, 1976	from DED and OPBE
2. The models, specifically	
a. User's Guide	draft from OPBE, spring 1977 final from OPBE, fall 1977
b. Pilot version of report forms, instructions, and worksheets	from OPBE
c. Computer program listing and documentation	from OPBE and TAC's
d. Contractor's report (RMC Research Corporation, 1976)	from OPBE and ERIC
3. Relevant evaluation issues	
a. Technical pamphlets (RMC Research Corporation, 1976)	from OPBE
b. Evaluation monograph series on	from OPBE and GPO
- estimating project effects	- currently
- validating project evaluations	- currently
- examining test bias	- summer, 1977
- assessing affective growth	- summer, 1977
- estimating standard costs	- summer, 1977
- managing a large-scale testing program	- fall, 1977
- sampling	- winter, 1977
- using criterion-referenced tests	- winter, 1977

(continued on next page)

Table 2 (continued)

4. Information about requirements

a. Notice of Intent to Regulate, Summer 77*	from Federal Register, OPBE, DED
b. Newsletter, quarterly	from OPBE

This distribution of materials is augmented by personal discussions between USOE and SEA or LEA staffs. Often these discussions occur by telephone, but there are also increasing requests for personal visits. Visits in the past have included attendance as a resource person at meetings, the giving of presentations for State audiences, or in a few cases, the planning and conduct of training workshops.

b. By Technical Assistance Centers under contract to USOE

Personnel in ten Technical Assistance Centers work under contract to USOE to provide detailed, site-specific, technical advice to States, and at a State's discretion, to LEA's (Fishbein, 1977). During the school year 1976-77, their work has involved the establishment of operating agreements with each State, attendance with clients at the ten USOE-sponsored national evaluation workshops, the conduct of nearly 170 State-sponsored training workshops, the definition of SEA needs regarding solutions to specific technical problems, and the formulation of plans for the most efficient integration of the Title I evaluation and reporting requiredments into existing State systems. Work in this last area has included planning for the use of State assessment data in the evaluation system, modifying State report forms, defining computer needs, and preparing monitoring guides. The reception to the services has been very positive and requests for help continue to increase.

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* To be followed by discussion, a Notice of Proposed Rule-making, further comment, and final regulations.

c. By States

Implementation of the USOE evaluation models occurs at the local level; that is, school district personnel plan the evaluation, administer tests, analyze results, use the information, and report to their States. States are responsible for training their local personnel to follow the prescribed procedures and are helped with this, as they choose, by their Technical Assistance Center personnel.

During school year 1975-76, two States and several school districts used the USOE evaluation system. Districts in over twenty States used it during the 1976-77 year, and their experiences are to be described in a small "Implementation study" conducted during the summer of 1977.

The school year 1976-77 was also the period of intensive training in ten USOE workshops, and the establishment of the Technical Assistance Centers. As a result, many States will adopt the standard models for use in the 1977-78 school year. About twenty-five will have statewide use of the methods (in all or most of their districts) that year; nearly twenty will have smaller groups of school districts using the models in a "field test" activity; other States have encouraged school districts to use the models but will be more vigorous in training and other assistance to prepare them for the following year.

It is clear, then, that use of the evaluation procedures in most sites will precede the issuance of regulations; that is, although the regulations may not be final until 1979, the use of the methods they require is underway already and increasing.

3. Dissemination

Subsection (b) objection 151 requires the Commissioner of Education to disseminate information about effective educational practices. Work in the Office of Education to disseminate and support adoption of such practices is described in the text of the Annual Evaluation Report. (See page 172.)

Title I projects in all settings have been submitted for approval by the joint OE-NIE Dissemination Review Panel. Nearly forty have been approved and information about them is being distributed by the National Diffusion Network, as well as by the Title I office. The findings of a recent evaluation of the work of the Network are discussed on pages

4. National evaluations

A secondary purpose of Section 151 is to sponsor national evaluations of Title I. Such studies usually describe the services and their impacts as well as develop evaluation models for use by SEA's and LEA's. Each ongoing evaluation is described in the text of this report; for details about them see the chapters on the Part A, LEA program, the Migrant education program, and that for Neglected or Delinquent Children.

References

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